



Child Care and Development Fund (CCDF) Plan

For

State/Territory:

California

FFY 2014–15

This Plan describes the CCDF program to be administered by the State/Territory for the period 10/1/2013 – 9/30/2015. As provided for in the applicable statutes and regulations, the Lead Agency has the flexibility to modify this program at any time, including amending the options selected or described.

For purposes of simplicity and clarity, the specific provisions printed herein of applicable laws and regulations are sometimes paraphrases of, or excerpts and incomplete quotations from, the full text. The Lead Agency acknowledges its responsibility to adhere to them regardless of these modifications.

Public reporting burden for this collection of information is estimated to average 162.5 hours per response, including the time for reviewing instructions, gathering and maintaining the data needed, and reviewing the collection of information.

An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number.

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PART 1

ADMINISTRATION

This section provides information on how the CCDF program is administered, including the designated Lead Agency, funding information, the administrative structure, program integrity and accountability policies and strategies, coordination efforts, and emergency preparedness plans and procedures.

1.1 Contact Information

The agency shown below has been designated by the Chief Executive Officer of the State (or Territory), to represent the State (or Territory) as the Lead Agency. The Lead Agency agrees to administer the program in accordance with applicable Federal laws and regulations and the provisions of this Plan, including the assurances and certifications appended hereto. (658D, 658E)

1.1.1 Who is the Lead Agency designated to administer the CCDF program? Identify the Lead Agency and Lead Agency's Chief Executive Officer designated by the State/Territory. ACF will send official grant correspondence such as grant awards, grant adjustments, Plan approvals and disallowance notifications to the designated contact identified here. (658D(a), §98.10)

Name of Lead Agency: [California Department of Education \(CDE\)](#)
Address of Lead Agency: [1430 N Street, Sacramento, California 95814](#)
Name and Title of the Lead Agency's Chief Executive Officer: [Tom Torlakson, State Superintendent of Public Instruction](#)
Phone Number: [916-319-0800](#)
Fax Number: [916-319-0100](#)
E-Mail Address: superintendent@cde.ca.gov
Web Address for Lead Agency (if any): <http://www.cde.ca.gov>

1.1.2. Who is the CCDF administrator? Identify the CCDF administrator designated by the Lead Agency, the day-to-day contact, with responsibility for administering the State/Territory's CCDF program. ACF will send programmatic communications such as program announcements, program instructions, and data collection instructions to the designated contact identified here. **If there is more than one designated contact with equal or shared responsibility for administering the CCDF program, please identify the co-administrator or entity with administrative responsibilities and include contact information.** (§§98.16(a) and (c)(1))

a) Contact Information for CCDF Administrator:

Name of CCDF Administrator: [Lupita Cortez Alcala](#)
Title of CCDF Administrator: [Deputy Superintendent of Public Instruction, Instruction & Learning Support Branch](#)
Address of CCDF Administrator: [1430 N Street, Sacramento, CA 95814](#)

Phone Number: 916-319-0700
Fax Number: 916-319-0100
E-Mail Address: lalcala@cde.ca.gov
Phone Number for CCDF program information (for the public) (if any):
916-322-6233
Web Address for CCDF program (for the public) (if any):
<http://www.cde.ca.gov/sp/cd/>
Web address for CCDF program policy manual: (if any): _____
Web address for CCDF program administrative rules: (if any): _____

b) Contact Information for CCDF Co-Administrator (if applicable):

Name of CCDF Co-Administrator: _____
Title of CCDF Co-Administrator: _____
Address of CCDF Co-Administrator: _____
Phone Number: _____
Fax Number: _____
E-Mail Address: _____
Description of the role of the Co-Administrator: _____

1.2 Estimated Funding

1.2.1. What is your expected level of funding for the first year of the FY 2014 – FY 2015 plan period? The Lead Agency **estimates** that the following amounts will be available for child care services and related activities during the 1-year period from October 1, 2013 through September 30, 2014. (\$98.13(a)).

FY 2012 Federal CCDF allocation (Discretionary, Mandatory and Matching):
\$542,608,855
Federal TANF Transfer to CCDF: \$0
Direct Federal TANF Spending on Child Care: \$387,702,000
State CCDF Maintenance-of-Effort Funds: \$85,593,217
State Matching Funds: \$208,356,893

Reminder – Lead Agencies are reminded that not more than 5 percent of the aggregate CCDF funds, including federal funds and required State Matching funds, shall be expended on administration costs (\$98.52) once all FY2014 funds have been liquidated. State Maintenance-of-Effort funds are not subject to this limitation.

1.2.2. Which of the following funds does the Lead Agency intend to use to meet the CCDF Matching and maintenance-of-effort (MOE) requirements described in 98.53(e) and 98.53(h)? Check all that apply. Territories not required to meet CCDF Matching and MOE requirements should mark ☐ N/A here.

Note: The Lead Agency must check at least public and/or private funds as matching, even if pre-kindergarten (pre-k) funds also will be used.

☒ Public funds to meet the CCDF Matching Fund requirement. Public funds may include any general revenue funds, county or other local public funds, State/Territory-specific funds (tobacco tax, lottery), or any other public funds.

If checked, identify source of funds: The Budget Act appropriates state general fund dollars for the CDE's Child Development programs. There are approximately 1,361 contracts dispersed through approximately 739 public and private agencies statewide to support and provide services to almost 430,811 children.

If known, identify the estimated amount of public funds the Lead Agency will receive: \$ _____

☐ Private donated funds to meet the CCDF Matching Funds requirement. Only private funds received by the designated entities or by the Lead Agency may be counted for match purposes. (98.53(f))

If checked, are those funds:

☐ donated directly to the State?

☐ donated to a separate entity(ies) designated to receive private donated funds?

If checked, identify the number of entities designated to receive private donated funds and provide name, address, contact, and type _____

If known, identify the estimated amount of private donated funds the Lead Agency will receive: \$ _____

☐ State expenditures for pre-k programs to meet the CCDF Matching Funds requirement. If checked,

Provide the estimated percentage of Matching Fund requirement that will be met with pre-k expenditures (not to exceed 30%): _____

If percentage is more than 10% of the Matching fund requirement, describe how the State will coordinate its pre-k and child care services: _____

If known, identify the estimated amount of pre-k funds the Lead Agency will receive for Matching Funds requirement: \$ _____

Describe the Lead Agency efforts to ensure that pre-k programs meet the needs of working parents: _____

☐ State expenditures for pre-k programs to meet the CCDF Maintenance of Effort (MOE) requirements. If checked,



☐ The Lead Agency assures that its level of effort in full-day/full-year child care services has not been reduced, pursuant to 98.53(h)(1).



Estimated percentage of MOE Fund requirement that will be met with pre-k expenditures (not to exceed 20%): _____



If percentage is more than 10% of the MOE requirement, describe how the State will coordinate its pre-k and child care services to expand the availability of child care: _____




Describe the Lead Agency efforts to ensure that pre-k programs meet the needs of working parents: _____




1.2.3 Describe the activities for which quality funds (including targeted quality funds for infants and toddlers, school-age children, and resource and referral) will be used in FY 2014. **Note: Funding estimate is limited to FY 2014. In as much detail possible, list the activities that will be funded, the estimated amount of CCDF quality funds that will be used for each activity, and how these activities relate to the Lead Agency's overall goal of improving the quality of child care for low-income children.**

Estimated Amount of CCDF Quality Funds For FY 2014	Activity (Lead Agency should include description of quality activities that cover FY 2014 and also information about activities for FY 2015, if available)	Purpose	Projected Impact and Anticipated Results (if possible)
Infant/Toddler Targeted Funds			
Program for Infant/Toddler Care (PITC) Institutes	\$970,000 Targeted funds	PITC Institutes, a comprehensive training program for trainers of infant/toddler caregivers, presented in four separate modules: http://www.wested.org/cs/we/view/serv/97 	100 to 160 individuals will attend the PITC Institute each year, improving infant/toddler care.
PITC Inclusion of Infants and Toddlers with Disabilities	\$840,000 Targeted funds	Provide a training-of trainers institutes, for college instructors, PITC institute graduates: http://www.wested.org/cs/we/view/pj/514 	Local capacity to serve infants and toddlers with disabilities is increased by training provided by 100 to 130 PITC-




			certified trainers and interventionists.
PITC Partners for Quality Regional Support Network	\$3,920,000 Targeted funds	Provide training/technical assistance activities, at the local level, for care of infant/toddlers: http://www.wested.org/cs/we/view/pj/249 	Improved infant/toddler care because of on-site technical assistance and support.
Community College PITC Demonstration Sites	\$595,025 Targeted funds	Support CA community colleges to integrate PITC into their existing infant/toddler programs and courses and to serve as demonstration sites: http://www.wested.org/cs/we/view/pj/249 	Opportunities to observe PITC best practices in care for infants and toddlers in group settings.
License enforcement for Child Care Programs	<ul style="list-style-type: none"> • \$8,000,000 partially targeted funds • \$356,146 for this category 	Support state licensing of child care facilities.	Safer environments for children in group care.
Development of Learning Foundations, Curriculum Frameworks & supporting materials	<ul style="list-style-type: none"> • \$438,840 • \$77,058 for this category 	Establish Early Learning Guidelines, curriculum frameworks, and support materials to assist workforce.	Improved understanding of children's development, curriculum planning and practice.
800-KIDS-793 Phone Line for Parents	\$91,000 Targeted funds	Provide bilingual phone assistance to parents seeking child care using the caller's zip code, automated or live information specialist.	Accommodate the range of calls received each month.
Resource and Referral Programs	<ul style="list-style-type: none"> • \$22,090,266 Partially targeted funds (includes 	Support Resource and Referral (R&R) programs that make referrals to parents for child care services, administer TrustLine fingerprint screening, and carrying out professional development activities:	Locally-based free resources for all families seeking child care, training

	<p>\$18,688,000 state funds)</p> <ul style="list-style-type: none"> • \$2,465,266 for this category 	http://www.rnnetwork.org/ 	for child care providers, and current data on all licensed providers.
Subsidized TrustLine Applicant Reimbursement	<ul style="list-style-type: none"> • \$800,000 Targeted funds • \$195,275 for this category 	Pay the fees associated with the TrustLine fingerprinting.	Ensure that family members, friends, and neighbors are not detoured from providing care due to TrustLine fingerprinting costs.
School-Age/Child Care Resource and Referral Targeted Funds			
Training for School-Age Program Professionals	\$178,230 Targeted funds	Development of on-line training modules for staff working in before- and after-school programs: http://www.calsac.org/ 	Support for school-age program professionals .
License enforcement for Child Care Programs	<ul style="list-style-type: none"> • \$8,000,000 partially targeted funds • \$408,291 for this category 	Support state licensing of child care facilities.	Safer environments for children in group care.
Child Care Retention Program: AB 212	<ul style="list-style-type: none"> • \$10,750,000 • \$639,348 for this category 	Provide funds for child care staff retention activities to retain qualified staff who work directly with children in state-subsidized, center- based programs.	Maintain high levels of retention for those who participate.
Family Child Care at Its Best Project	<ul style="list-style-type: none"> • \$910,000 Partially targeted 	Training/quality improvement services to licensed Family Child Care Home providers throughout	Provide training and improve the

	<ul style="list-style-type: none"> funds \$100,000 for this category 	California:	quality of care by family child care home providers.
Quality Expansion Targeted Funds			
License enforcement for Child Care Programs	<ul style="list-style-type: none"> \$8,000,000 partially targeted funds \$3,614,294 for this category 	Support state licensing of child care facilities.	Safer environments for children in group care.
Development of Learning Foundations, Curriculum Frameworks & supporting materials	<ul style="list-style-type: none"> \$438,840 \$361,782 for this category 	Establish Early Learning Guidelines, curriculum frameworks, and support materials to assist workforce.	Improved understanding of children's development, curriculum planning and practice.
California Early Childhood Mentor Program	\$2,866,295 Targeted funds	Mentor ECE college students, provide support to new directors/administrators, and compensate experienced staff mentors: http://www.ecementor.org/ 	Improved quality of care via one-to-one mentor relationship.
California Preschool Instructional Network (CPIN)	<ul style="list-style-type: none"> \$2,600,000 Targeted funds \$2,072,166 for this category 	Provide statewide professional development, technical assistance, to improve the quality of California preschool programs: http://www.cpin.us/ 	More preschool teachers using the California Preschool Learning Foundations and Curriculum Framework.
Child Development Training Consortium	\$3,191,200 Partially targeted funds	Financial/technical assistance for college-level courses leading to a Child Development Permit: http://www.childdevelopment.org/ 	Raise the quality of care in early care and

	(includes \$291,200 state funds)		education settings throughout California by supporting an educated workforce.
English Language Learners Support	\$1,400,000 Partially targeted funds	Provide training by using the Preschool English Learners: Principles and Practices to Promote Language, Literacy, and Learning. http://www.cpin.us/dll/index.html 	More of the preschool workforce trained in proper strategies to support children whose home language is not English.
Faculty Initiative Project (FIP)	\$455,000 Targeted funds	Integrate essential CDE/CDD content and competencies into ECE curriculum in the California Community College/California State University systems: http://www.wested.org/facultyinitiative/ 	Growing use of the FIP curriculum guides to support early childhood educator instruction in the 105 community colleges and 23 California State Universities.
Map to Inclusive Child Care & Center on the Social and Emotional Foundations for Early Learning (CSEFEL)	\$250,000	Facilitate a collaborative effort to expand opportunities for children with disabilities and support integration of the Center on the Social and Emotional Foundations for Early Learning: http://cainclusion.org/camap/ 	Resources available to providers to include children with special needs into child care settings and participating CSEFEL sites and trainers supported.

Child Care Retention Program: AB 212	<ul style="list-style-type: none"> • \$10,750,000 • \$6,067,325 for this category 	Provide funds for child care staff retention activities to retain qualified staff who work directly with children in state-subsidized, center- based programs.	Maintain high levels of retention for those who participate.
Child Development Teacher & Supervisor Grant Program	\$177,500 Targeted funds	Provide financial grants for college course work leading to Child Development Permits. Participants are selected on financial need/academic achievement.	Approximately 170 students will obtain financial assistance.
Stipend for Permit	\$455,000 Targeted funds	Pay the cost of the application fees for students to obtain a Child Development Permit.	Child development permits paid for about 4,250 applicants and fingerprint processing fees paid for about 2,700 first-time applicants.
Subsidized TrustLine Applicant Reimbursement	<ul style="list-style-type: none"> • \$800,000 Targeted funds • \$604,725 for this category 	Pay the fees associated with the TrustLine fingerprinting.	Ensure that family members, friends, and neighbors are not detoured from providing care due to TrustLine fingerprinting costs.
Family Child Care at Its Best Project	<ul style="list-style-type: none"> • \$910,000 Partially targeted funds • \$582,712 for this category 	Training/quality improvement services to licensed Family Child Care Home providers throughout California:	Provide training and improve the quality of care by family child care home providers.

Quality Funds (not including Targeted Funds)			
License enforcement for Child Care Programs	<ul style="list-style-type: none"> • \$8,000,000 partially targeted funds • \$3,620,260 for this category 	Support state licensing of child care facilities.	Safer environments for children in group care.
Desired Results system for children and families	\$905,100	Establish & maintain assessment system aligned with the states Early Learning Guidelines: http://www.wested.org/desiredresults/training/ 	Research-based assessments of children in child care and development settings.
Desired Results Field Training	\$580,000	Provide regional trainings on the Desired Results system, develop training materials and activities: http://www.wested.org/desiredresults/training/ 	More of the Early Childhood Education workforce trained on use of the state's early childhood assessment instruments.
Health and Safety Training	\$455,000	Reimbursement to child care providers for costs associated with completing health/safety training.	On-going training and up-dating of child care providers in basic child health and safety.
Inclusion and Behavior Consultation Network	\$460,000	Consultation, on-site training, and technical assistance to programs serving children with disabilities and special needs, including challenging behaviors: http://www.wested.org/cs/we/view/pj/577 	Provide direct support to care providers working with children with special

			needs and challenging behaviors.
Child Care Retention Program: AB 212	<ul style="list-style-type: none"> • \$10,750,000 • \$2,898,527 for this category 	Provide funds for child care staff retention activities to retain qualified staff who work directly with children in state-subsidized, center- based programs.	Maintain high levels of retention for those who participate.
Evaluation of Quality Improvement Activities	\$570,000	Evaluate the impact of various quality improvement system activities.	Evaluation results will be used to provide guidance for continuing, expanding, and restructuring Quality Improvement activities.
Family Child Care at Its Best Project	<ul style="list-style-type: none"> • \$910,000 Partially targeted funds • \$227,288 for this category 	Training/quality improvement services to licensed Family Child Care Home providers throughout California:	Provide training and improve the quality of care by family child care home providers.

1.2.4 Will the Lead Agency distribute quality funds to counties or local entities?

Note: The goal of this question is to obtain information on whether local entities have decision making responsibilities regarding the quality dollars.

Does the State maintain decisions at the State level, or are funds distributed to locals that have some decisions on how funds are spent.

- ☐ No, the Lead Agency will not distribute all quality funds directly to local entities
- ☒ Yes, the Lead Agency will distribute a portion of quality funds directly to local entities. Estimated amount or percentage to be distributed to localities More than half of the funds are locally administered.
- ☐ Yes, all quality funds will be distributed to local entities

☐ Other. Describe.

1.3. CCDF Program Integrity and Accountability

Program integrity is defined to include efforts that ensure effective internal controls over the administration of CCDF funds. The Lead Agency is responsible for monitoring programs and services, ensuring compliance with the rules of the program, promulgating rules and regulations to govern the overall administration of the plan and oversee the expenditure of funds by sub-grantees and contractors. (§ 98.11(b)) Accountability measures should address administrative error, which includes unintentional agency error, **as well as to address** program violations, both unintentional and intentional, that may or may not result in further action by the Lead Agency, including those cases suspected of and/or prosecuted for fraud.

1.3.1. Describe the strategies the Lead Agency will utilize to ensure effective internal controls are in place. The **description** of internal controls may include, but is not limited to a description of processes to ensure sound fiscal management, to identify areas of risk or to establish regular evaluation of control activities.

The CDE Accounting Office prepares and submits the quarterly Administration for Children and Families (ACF)-696 to report outlays and un-liquidated obligations in accordance with the Federal reporting requirements established for the Mandatory, Matching, and Discretionary grants. The Associate Accounting Analyst prepares and reconciles various worksheets using data from the State of California's Accounting and Report System and information provided by the Child Development Fiscal Services Unit. The Accounting Administrator I reviews the information for accuracy. The Accounting Administrator II provides the final review and approval of all documents.

Contractors are required to submit annual financial and compliance audits to CDE's Audits and Investigations Division (A&I). All audits must be performed by

1. A Certified Public Accountant who possesses a valid license to practice within the State of California;
2. A Public Accountant licensed on or before December 31, 1970, and currently certified and licensed by the State of California;
3. A member of CDE's staff of auditors; or
4. Public agencies may have their audits prepared by in-house auditors if the public contractor has internal audit staff that performs auditing functions and meets the test of independence found in the Governmental Auditing. The A&I conducts a review of the audit to determine whether the audit is acceptable and to determine the contractor's net reimbursable program costs.

In order to ensure local agency compliance with new federal regulations, the CDE drafts management bulletins that define the new regulations and clearly outline the new reporting requirements. The management bulletins are posted on the CDE Web site and agencies are notified of the new management bulletins via e-mail that includes a link to the management bulletin. The CDE has designated personnel who are available by phone and e-mail to provide technical assistance to the local agencies. In addition, CDE personnel bi-annually attend regional conferences to provide training to agency staff to help improve data accuracy.

CDE personnel attend ongoing training activities in order to remain informed about federal and state reporting requirements and maintain adequate programming and data analysis skills. The software packages used for data analysis and programming are annually updated to ensure that CDE personnel have the resources necessary for efficient data analysis and timely reporting.

The CDE continually strives to collect accurate monthly population and sample data by implementing data entry controls, such as edit checks, as well as reviewing input data and producing exception reports. The exception reports are generated by data management staff and provided to field consultants for follow-up and resolution.

To ensure the security of confidential data, the CDE maintains a computer system that must be accessed using individual user-identifications (IDs) and passwords. User-IDs and passwords are only issued to essential CDE personnel. To further ensure security, the web server, sequel server, and individual computer worksites are continually updated with the most current security protection technology. Finally, CDE personnel follow strict state guidelines, regarding the protection of personally identifying information.

The CDE completed an approved ACF-402 report prior to the required date of June 2011, estimating error rates in all programs containing CCDF funds, matching funds, or maintenance of effort funds for federal fiscal year 2010. The methodology for sampling, analyzing case files, and estimating the error rate was approved prior to selecting sample cases. The CDE's target error rate for the 2011 report was eleven percent. The statewide error rate estimated in the 2011 report was six percent. The CDE has continued the monitoring and program improvement system, which produced the reduction in error rates. Our next report is due in June 2014.

1.3.2 Describe the processes the Lead Agency will use to monitor all sub-recipients. Lead Agencies that use other governmental or non-governmental sub-recipients to administer the program must have written agreements in place outlining roles and responsibilities for meeting CCDF requirements. (98.11 (a) (3))

Definition: A sub-recipient (including a sub-contractor and or sub-grantee) is a non-Federal entity that expends Federal awards (contract or grant) received from another entity to carry out a Federal program, but does not include a vendor nor does it include an individual who is a beneficiary of such a program. OMB Circular A-133 Section 210 provides additional information on the characteristics of a **sub-recipient** and **vendor**

The description of monitoring may include, but is not limited to, a discussion of written agreements, fiscal management, review of policies and procedures to ensure compliance with CCDF regulations, monitoring/auditing contractors or grantees to ensure that eligible children are served and eligibility documentation is verified, and establishing performance indicators or measures related to improper payment.

The CDE maintains overall control and the following oversight responsibilities:

- A. Negotiation, issuance, and execution of contracts, grants, or interagency agreements.
- B. Provides technical assistance to contractors, grantees, and public agencies.
- C. Monitoring of fiscal and service data reports required to be submitted by contractors, grantees, or public agencies.
- D. Reviews of fiscal and compliance audits required to be submitted by contractors, grantees, or other public agencies for final close-out of contracts and grants. State agencies are audited by the Bureau of State Audits.
- E. Contractor reviews:
 - 1. Review of each child care and development service contractor at the local level by the CDE or other authorized representatives using the following procedures:
 - i. Agency annual self-review.
 - ii. Categorical Program Monitoring (CPMs)/Contract Monitoring Reviews (CMRs) of each school or contracted program.
 - iii. Sampling and review of individual agencies to estimate and reduce error rates.
 - iv. Enforcement of requirements.
 - 2. Review of contractors or grantees providing quality improvement activities encompass the following tasks:
 - i. Review of monthly invoices and progress reports.
 - ii. For those producing materials, review and approval of materials during development and prior to final production.
 - iii. For those conducting training, review of training plan, observation of training activities, and review of client evaluations of training activities.
 - iv. Contract for periodic independent evaluations of the efficiency and effectiveness of all major quality improvement activities.
 - 3. Reviews of Alternative Payment Program (APP) contractors conducted on an annual basis.

1.3.3. Describe the activities the Lead Agency will have in place to identify program violations and administrative error to ensure program integrity using the chart below. Program violations may include intentional and unintentional client and/or provider violations as defined by the Lead Agency. Administrative error refers to **areas identified through the Error Rate Review** process (98.100). Check which activities, if any, the Lead Agency has chosen to conduct.

Type of Activity	Identify Program Violations	Identify Administrative Error
Share/match data from other programs (e.g. TANF, Child and Adult Care Food Program (CACFP), Food and Nutrition Services (FNS), Medicaid)	<input type="checkbox"/>	<input type="checkbox"/>
Share/match data from other databases (e.g., State Directory of New Hires, Social Security Administration, Public Assistance Reporting Information System (PARIS))	<input type="checkbox"/>	<input type="checkbox"/>

Type of Activity	Identify Program Violations	Identify Administrative Error
Run system reports that flag errors (include types)	<input type="checkbox"/>	<input type="checkbox"/>
Review of attendance or billing records	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Audit provider records	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Conduct quality control or quality assurance reviews	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Conduct on-site visits to providers or sub-recipients to review attendance or enrollment documents.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Conduct supervisory staff reviews	<input type="checkbox"/>	<input type="checkbox"/>
Conduct data mining to identify trends	<input type="checkbox"/>	<input type="checkbox"/>
Train staff on policy and/or audits	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Other. Describe _____	<input type="checkbox"/>	<input type="checkbox"/>
None	<input type="checkbox"/>	<input type="checkbox"/>

For any option the Lead Agency checked in the chart above other than none, please describe

The CDE has two teams of analysts and managers dedicated to replicating the federal error rate review and the individual agency level and providing assistance to agencies in reducing errors. These reviews involve examination of a statistically valid random sample of each agency's records. Analyst staff are accompanied by professional staff that review agency policies, written materials, and operational procedures to ensure that agencies are compliant with all state and federal rules.

In addition to the assistance provided, individual contractors in reducing and avoiding errors, regional trainings discussing state and federal rules and best practices for avoiding errors are conducted by managers and administrators.

The CDE's Audits and Investigations Division conducts audits of local agencies at the request of the program of fiscal staff at the CDE. Finally, CDE's fiscal staff conduct reviews to examine the documents retained by local agencies on which claims for funding from the CDE are based.

If the Lead Agency checked none, please describe what measures the Lead Agency has or plans to put in place the address program integrity:

1.3.4. What strategies will the Lead Agency use to investigate and collect improper payments due to program violations or administrative error? Check and describe in the chart below which strategies, if any, the Lead Agency will use for each of the following areas: Unintentional program violations (UPV), intentional program violations (IPV) and/or fraud, and administrative error as defined in your State/Territory. **The Lead Agency has the flexibility to recover misspent funds as a result of errors. The Lead Agency is required to recover misspent funds as a result of fraud (98.60(i)).**

Strategy	UPV	IPV and/or Fraud	Administrative Error
Require recovery after a minimum dollar amount in improper payment. Identify the minimum dollar amount _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Coordinate with and refer to other State/Territory agency (e.g. State/Territory collection agency, law enforcement). Describe Fraud investigation prosecution handled through local District Attorney's Office.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Recover through repayment plans	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Reduce payments in subsequent months	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Recover through State/Territory tax intercepts	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Recover through other means. Describe _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Establish a unit to investigate and collect improper payments. Describe composition of unit _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other. Describe Provide training/best practices in identifying potential fraud cases. Increasing clarity of program rules to prevent fraud.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
None	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

For any option the Lead Agency checked in the chart above other than none, please describe _____

1.3.5. What type of sanction, if any, will the Lead Agency place on clients and providers to help reduce improper payments due to program violations?

- ☐ None
- ☒ Disqualify client. If checked, please describe, including a description of the appeal process for clients who are disqualified [The parent is provided a Notice of Action \(NOA\), termination of services. The NOA informs the parent of the following: The parent may appeal the NOA to the contractor and, if necessary, to the CDD within a 14/19 day timeframe. Termination of services is suspended during the appeal process. The CDD reimburses the contractor for services provided to the family during the appeal process.](#)
- ☒ Disqualify provider. If checked, please describe, including a description of the appeal process for providers who are disqualified [No appeal](#)
- ☒ Prosecute criminally
- ☐ Other. Describe. ____

1.3.6. Based on responses provided from Question 14 in the most recent ACF-402 report, please describe those actions the Lead Agency has taken

or plans to take to reduce identified errors in the table below. Territories not required to complete the Error Rate Review should mark ☐ N/A here.

Activities identified in ACF-402	Cause/Type of Error (if known)	Actions Taken or Planned	Completion Date (Actual or planned) (if known)
<p>1. The CDE has two teams working full-time reviewing files, identifying administrative errors, and assisting sub-recipients in crafting and implementing error rate reduction plans. Agency specific error rate estimates have been successful in identifying issues that impact future statewide estimates and reducing the incidence of errors.</p> <p>2. For all sub-recipients, an annual independent audit is required and reviewed by the CDE.</p>	<p>1. Misunderstanding of applicable rules or failure to apply rules correctly.</p> <p>2. Insufficient documentation.</p>	<p>1. On-site reviews of sub-recipients to estimate and reduce errors.</p> <p>2. Follow-up reviews to assess effective implementation of error rate reduction plans.</p> <p>3. Review of annual agency audits and completion of on-site audits of high-risk contractor by CDE auditors.</p>	<p>1. Ongoing</p> <p>2. Ongoing</p>

1.4. Consultation in the Development of the CCDF Plan

Lead Agencies are required to *consult* with appropriate agencies in the development of its CCDF Plan (§98.12, §98.14(a),(b), §98.16(d)).

Definition: *Consultation* involves the meeting with or otherwise obtaining input from an appropriate agency in the **development of the State or Territory CCDF Plan. At a minimum, Lead Agencies must consult with representatives of general purpose local governments.** (§§98.12(b), 98.14(a)(1))

1.4.1. Identify and describe in the table below who the Lead Agency consulted with in the development of the CCDF Plan (658D(b)(2), §§98.12(b), 98.14(b)).

Agency/Entity		Describe how the Lead Agency consulted with this Agency/entity in developing the CCDF Plan
<input checked="" type="checkbox"/>	<p>Representatives of general purpose local government (required)</p> <p>This may include, but is not limited to: representatives from counties and municipalities, local human service agencies, local education representatives (e.g., school districts), or local public health agencies.</p>	<p>The Child Development Division held a stakeholders meeting in order to gather input for the 2014-15 CCDF state plan on November 19, 2012. Over 70 stakeholder organizations and quality contractors attended the meeting and provided input to the plan. The CDE also consults with local governments by means of its Child Care and Development Local Planning Councils (LPCs). The LPCs bring all the local stakeholders together, including subsidized and non-subsidized early care and education providers, employers, county welfare departments (CWDs) and human services agencies, local educational agencies (LEAs), regional centers, colleges, California Children and Families Commission (First 5 California), job training programs, and parent organizations to create local strategic priorities for child care services for all children and families who need them.</p>
<p>For the remaining agencies, check and describe (optional) any which the Lead Agency has chosen to consult with in the development of its CCDF Plan.</p>		
<input type="checkbox"/>	<p>State/Territory agency responsible for public education</p> <p>This may include, but is not limited to, State/Territory pre-kindergarten programs (if applicable), programs serving school-age children (including 21st Century Community Learning Centers), or higher education.</p>	
<input type="checkbox"/>	<p>State/Territory agency responsible for programs for children with special needs</p> <p>This may include, but is not limited to: State/Territory early intervention programs authorized under the Individuals with Disabilities Education Act (Part C for infants and toddlers and Section 619 for preschool), or other State/Territory agencies that support children with special needs</p>	
<input type="checkbox"/>	<p>State/Territory agency responsible for licensing (if separate from the Lead Agency)</p>	
<input type="checkbox"/>	<p>State/Territory agency with the Head Start Collaboration grant</p>	

Agency/Entity		Describe how the Lead Agency consulted with this Agency/entity in developing the CCDF Plan
<input type="checkbox"/>	Statewide Advisory Council authorized by the Head Start Act	
<input type="checkbox"/>	Other Federal, State, local, Tribal (if applicable), and/or private agencies providing early childhood and school-age/youth-serving developmental services	
<input type="checkbox"/>	State/Territory agency responsible for the Child and Adult Care Food Program (CACFP)	
<input type="checkbox"/>	State/Territory agency responsible for implementing the Maternal and Early Childhood Home Visitation programs grant	
<input type="checkbox"/>	State/Territory agency responsible for public health (including the agency responsible for immunizations and programs that promote children's emotional and mental health)	
<input type="checkbox"/>	State/Territory agency responsible for child welfare	
<input type="checkbox"/>	State/Territory liaison for military child care programs or other military child care representatives	
<input type="checkbox"/>	State/Territory agency responsible for employment services/workforce development	
<input type="checkbox"/>	State/Territory agency responsible for Temporary Assistance for Need Families (TANF)	
<input type="checkbox"/>	Indian Tribes/Tribal Organizations <input type="checkbox"/> N/A: No such entities exist within the boundaries of the State	
<input type="checkbox"/>	Private agencies/entities including national initiatives that the Lead Agency is participating in such as BUILD, Strengthening Families, Mott Statewide After-school Networks, Ready by 21	
<input type="checkbox"/>	Provider groups, associations or labor organizations	
<input type="checkbox"/>	Parent groups or organizations	
<input type="checkbox"/>	Local community organizations (child care resource and referral, Red Cross)	
<input type="checkbox"/>	Other	

1.4.2. Describe the Statewide/Territory-wide public hearing process held to provide the public an opportunity to comment on the provision of child care services under this Plan. (658D(b)(1)(C), §98.14(c)) At a minimum, the description should include:

- a) Date(s) of notice of public hearing: **Reminder-Must be at least 20 days prior to the date of the public hearing.** March 22, 2013
- b) How was the public notified about the public hearing? The CDE employed two methods to notify the public of the required public hearing and provide a wide distribution of information regarding the draft 2014–15 CCDF State Plan and the process. The public hearing notice and a brief summary of the State Plan were made available at <http://www.cde.ca.gov/sp/cd/re/stateplan.asp>. A separate announcement of the location, date and time of the public hearing, together with

a summary of the State Plan and notification of the Web address for the complete draft Plan was sent to interested parties.

- c) Date(s) of public hearing(s): April 22, 2013, 1-4 p.m. **Reminder – Must be no earlier than 9 months before effective date of Plan (October 1, 2013).**
- d) Hearing site(s): 1430 N Street, Room 1101, Sacramento
- e) How was the content of the Plan made available to the public in advance of the public hearing(s)? The draft of the proposed 2014–15 CCDF State Plan was posted on the CDE Web site at <http://www.cde.ca.gov/sp/cd/re/stateplan.asp>.
- f) How will the information provided by the public be taken into consideration in the provision of child care services under this Plan? The CDE reviews the public testimony, e-mails, and correspondence to determine if the issue is included in the proposed CCDF State Plan, or if it warrants further investigation.

1.4.3. Describe any strategies used by the Lead Agency to increase public consultation on the Plan or access to the public hearing. For example, translating the public hearing notice into multiple languages, using a variety of sites or technology (e.g., video) for the public hearing, holding the hearing at times to accommodate parent and provider work schedules. The CDE established an e-mail account specifically for interested parties to provide input for the State Plan.

1.5. Coordination Activities to Support the Implementation of CCDF Services

Lead Agencies are required to *coordinate* with other Federal, State, local, Tribal (if applicable) and private agencies providing child care and early childhood development services (§98.12, §98.14(a), (b), §98.16(d)).

Definition - Coordination involves **child care and early childhood and school-age development services** efforts to work across multiple entities, both public and private (such as in connection with a State Early Childhood Comprehensive System (SECCS) grant or the State Advisory Council funded under the Head Start Act of 2007). (658D(b)(1)(D), §§98.12(a), 98.14(a)(1))

Note: Descriptions of **how governments are organized for each State** are provided at: www.census.gov

1.5.1. Identify and describe in the table below who the Lead Agency coordinates with in the delivery of child care and early childhood and school-age services (§98.14(a)(1)).

Agency/Entity (check all that apply)		Describe how the Lead Agency will coordinate with this Agency/entity in delivering child care and early childhood services	Describe the goals or results you are expecting from the coordination
<input checked="" type="checkbox"/>	<p>Representatives of general purpose local government (required)</p> <p>This may include, but is not limited to: representatives from counties and municipalities, local human service agencies, local education representatives (e.g., school districts), or local public health agencies.</p>	<p>The CDE coordinates with local governments by means of its Child Care and Development LPCs. The CDE supports the overall coordination of child care services at the local level through established Local Planning Councils (LPCs) in each of the 58 counties, under the auspices of county boards of supervisors and county superintendents of schools. Membership, as determined by local government, consists of 20 percent of each of the following categories: child care providers, community representatives, consumers, public agency representatives, and persons at the discretion of the appointing agency.</p>	<p>Examples might include increased supply of full-day/full-year services, aligned eligibility policies, blended funding, or access to more training and technical assistance resources shared across agencies.</p> <p>The LPCs are mandated to conduct county child care needs assessments and to prepare plans to address identified needs. These assessments must include information on the supply and demand for child care, including the need for both subsidized and non-subsidized care. As part of the needs assessment process, child care resource & referral programs gather data annually. The CDE provides guidance and technical assistance to the LPCs as they develop their needs assessments. The CDE utilizes all of the collected data from the needs assessments to obtain a statewide picture of child care need.</p>
<input checked="" type="checkbox"/>	<p>State/Territory agency responsible for public education (required)</p> <p>This may include, but is not limited to, State/Territory pre-kindergarten programs (if applicable), programs serving school-age children (including 21st Century Community Learning Centers), or higher education.</p>	<p>The CDE works with county offices of education, school districts, private schools, and other LEAs. The CDE also worked collaboratively with the California County Superintendents Educational Services Association, Curriculum and Instruction Steering Committee to set up the California Preschool Instructional Network (CPIN) in each of the eleven Superintendents' regions.</p>	<p>The goal is to coordinate the delivery of child care and development services throughout the state. Because school systems represent a large portion of the child care delivery system, the CDE also works closely with LEAs to both gain ideas and disseminate information. The Desired Results child and family outcomes, the <i>Prekindergarten Learning and Development Guidelines</i>, and the <i>California Preschool Learning Foundations, Volume 1, 2, and 3</i> have been articulated with the content standards for kindergarten through twelfth grade (K–12).</p>

Agency/Entity (check all that apply)	Describe how the Lead Agency will coordinate with this Agency/entity in delivering child care and early childhood services	Describe the goals or results you are expecting from the coordination Examples might include increased supply of full-day/full-year services, aligned eligibility policies, blended funding, or access to more training and technical assistance resources shared across agencies.
	<p>The CDE has been providing a state prekindergarten program for more than 60 years through its contracts with school districts, colleges, and private nonprofit agencies, including community action agencies, and churches and other faith-based organizations.</p>	<p>The CDE has developed a Desired Results Developmental Profile assessment for School Readiness (DRDP-SR). This observational assessment can be used by LEAs as they determine a child's developmental level in five domain areas. The DRDP-SR assessment is for use during the Transitional-Kindergarten year and as a child enters public kindergarten.</p> <p>The CPIN provides high-quality professional development with a comprehensive and coordinated statewide message for preschool teachers and administrators.</p> <p>Professional development focuses on school readiness and transition from preschool to kindergarten and first grade, early language and literacy, mathematics, the Desired Results system, children with disabilities and children who are English language learners.</p> <p>The California State Preschool Program (CSPP) provides both part-day and full-day services that provide a core class curriculum that is developmentally, culturally, and linguistically appropriate for the children served. The program also provides meals and snacks to children, parent education, referrals to health and social services for families, and staff development opportunities to employees.</p>

Agency/Entity (check all that apply)	Describe how the Lead Agency will coordinate with this Agency/entity in delivering child care and early childhood services	Describe the goals or results you are expecting from the coordination Examples might include increased supply of full-day/full-year services, aligned eligibility policies, blended funding, or access to more training and technical assistance resources shared across agencies.
	<p>The CDE offers grants for before and after school programs to serve pupils during non-school hours at or near school sites whenever possible. The state-funded After School Education and Safety Program (ASES), a result of the voter-approved initiative Proposition 49, serves grades K–8. Federal funding authorizes the 21st Century Community Learning Centers (CCLC) program in No Child Left Behind, Title IV, Part B. This program serves eligible students in grades K–12 in public, non-public and charter schools. Eligible grant recipients include LEAs, non-public schools, city and county governments, private nonprofit groups, and community and faith-based organizations.</p> <p>These after-school programs focus on academic support including improvement and age-appropriate enrichment activities. There are specific staffing requirements and hours of program operation to meet the goals of the program. While not necessarily meeting the full child care</p>	<p>ASES and 21st CCLC grants are required in statute to provide literacy, math, and other academic content as well as enrichment activities that are designed to support safe, constructive alternatives for students in the non-school hours and require the creation of a local community collaborative that includes parents, youth, and representatives of participating public schools, and governmental agencies such as city and county parks and recreation departments, local law enforcement, community organizations, and the private sector. Computer training, visual and performing arts, health, nutrition, intra-mural sports, and physical fitness may be included as enrichment components; in addition to other academic and locally-identified content; California High School Exit Exam (CAHSEE) preparation, career development, and community service-learning may be provided for older students. Programs may be operated in locations other than school sites. 21st CCLC programs may seek additional funding to provide locally assessed family literacy services and assure equitable access for eligible students.</p> <p>Competitive funding opportunities for the 21st CCLC grants are open to LEAs; cities; counties; charter schools; and nonprofit, community, and faith-based organizations in</p>

Agency/Entity (check all that apply)	Describe how the Lead Agency will coordinate with this Agency/entity in delivering child care and early childhood services	Describe the goals or results you are expecting from the coordination Examples might include increased supply of full-day/full-year services, aligned eligibility policies, blended funding, or access to more training and technical assistance resources shared across agencies.
		<p>needs of families, the program provides high-quality educational and enrichment programs.</p> <p>partnership with an LEA. Consortia of two or more local organizations are also eligible to apply for funding.</p> <p>Each application for funding must demonstrate planning and development of each program that involves collaboration with parents, youths, and representatives from schools and governmental agencies, such as city and county parks and recreation departments, community-based organizations, the private sector, and other identified program partners. These programs provide an opportunity to merge school reform strategies with activities offered by other sectors of the community to improve assistance to students and their families and to broaden the base of support for education. For more information, see the CDE After School Programs Office Web site at http://www.cde.ca.gov/ls/ba/.</p> <p>The CDE works in conjunction with California Community Colleges and California State Universities (CSU), Early Childhood Education (ECE)/Child Development departments and faculty regarding curriculum at both the lower-division and upper-division.</p> <p>The purpose is to best prepare the ECE workforce in California. This also includes input from the California Mentor Teacher Program, the California Curriculum Alignment Project, and the Child Development Training Consortium which is working to align community college courses and support CSU articulation.</p>
<input checked="" type="checkbox"/>	Other Federal, State, local, Tribal (if applicable), and/or	<p>The CDE has established an ongoing relationship with the First 5 California.</p> <p>First 5 California allocates its revenues to corresponding state and county commissions for early</p>

Agency/Entity (check all that apply)		Describe how the Lead Agency will coordinate with this Agency/entity in delivering child care and early childhood services	Describe the goals or results you are expecting from the coordination
	private agencies providing early childhood and school-age/youth-serving developmental services (required)		childhood development programs.
<input checked="" type="checkbox"/>	<p>State/Territory agency responsible for public health (required)</p> <p>This may include, but is not limited to, the agency responsible for immunizations and programs that promote children's emotional and mental health</p>	<p>The CDE works closely with the California Department of Health Services (CDHS) to create and maintain the linkage between child care and health care.</p> <p>The CDHS, the CDE, and the California Department of Social Services (CDSS) have worked to address the growing concern about the proper immunization of children.</p> <p>The CDE recognizes the importance of children's emotional and mental health. California's Infant, Preschool, and Family Mental Health Initiative (CIPFMHI) is funded by the First 5 California, administered through the California Department of Mental Health, coordinated by the WestEd Center for</p>	<p>The state provides services for pregnant women and children through various programs: Medi-Cal (California's Medicaid program) BabyCal, Access for Infants and Mothers, and the Healthy Families Program. Together, those three programs cover children up to 250 percent of the federal poverty level, and pregnant women and their infants up to 300 percent of the federal poverty level.</p> <p>The link between health care and child care is strengthened by the requirement that children be immunized at the appropriate age before being enrolled in child care settings. The CDHS, the CDE, and the CDSS have worked to achieve higher immunization rates among children.</p> <p>The initiative hopes to expand and enhance relationship-based approaches to service and the delivery of mental health treatment services to children prenatal to age five and their families. Outreach sessions are conducted in 10 to 20 areas of California each year to bring together Early Childhood Education (ECE) staff, family child care providers, early interventionists, and other</p>

Agency/Entity (check all that apply)		Describe how the Lead Agency will coordinate with this Agency/entity in delivering child care and early childhood services	Describe the goals or results you are expecting from the coordination
		Prevention and Early Intervention, and implemented in cooperation with eight county departments of mental health and interagency partners. The CDE coordinates with the initiative through its Beginning Together Project, which had been administered by Sonoma State University and is now administered by WestEd.	Examples might include increased supply of full-day/full-year services, aligned eligibility policies, blended funding, or access to more training and technical assistance resources shared across agencies. professionals working with infants and toddlers. The purpose of the sessions is to discuss how to better coordinate services for children from birth to three years of age who have disabilities or other exceptional needs. Representatives from the counties with CIPFMHI pilot projects will be included in these meetings when they are held in their areas so that mental health services are considered in the discussions.
<input checked="" type="checkbox"/>	State/Territory agency responsible for employment services / workforce development (required)	The CDE coordinates with CDSS to ensure all families receive necessary child care services as they transition off cash assistance and into the workforce.	To provide access to child care services for families leaving cash assistance.
<input checked="" type="checkbox"/>	State/Territory agency responsible for providing Temporary Assistance for Need Families (TANF) (required)	Since the passage of the Personal Responsibility and Work Opportunity Reconciliation Act in 1996 and the California Work Opportunity and Responsibility to Kids (CalWORKs) statute (AB 1542, Chapter 270 of the Statutes of 1997), the CDE has enhanced its ongoing consultative relationships with various state and local agencies affected by the State Plan.	The CDE maintains an ongoing, collaborative relationship with the CDSS, which is the state TANF agency, to establish consistent state policies for a seamless system of welfare-related child care services in California. The CDSS, through the CWDs in all 58 counties in the state, coordinates with the Employment Development Department, which is the agency responsible for providing employment-related services in California.

Agency/Entity (check all that apply)	Describe how the Lead Agency will coordinate with this Agency/entity in delivering child care and early childhood services	Describe the goals or results you are expecting from the coordination
<div data-bbox="293 499 548 583"> Indian Tribes/Tribal Organizations (required) </div> <div data-bbox="293 615 548 735"> <input type="checkbox"/> N/A: No such entities exist within the boundaries of the State </div> <div data-bbox="237 1050 266 1079"> <input checked="" type="checkbox"/> </div>	<p>The CDE has established an ongoing communication mechanism with tribes in California, both CCDF-funded and otherwise, to facilitate and consult on early childhood issues and the delivery of services to all tribal children and families in the State. The CDE coordinates child care and development services with tribal organizations by providing information and access to the State's child care and development services, training programs, and complimentary dissemination of materials.</p>	<p>Examples might include increased supply of full-day/full-year services, aligned eligibility policies, blended funding, or access to more training and technical assistance resources shared across agencies.</p> <p>The CDE will continue to work with Tribal CCDF grantee representatives to:</p> <ol style="list-style-type: none"> 1) Increase and expand access to information about early care and education as well as identify available training and technical assistance on these topics; 2) Actively promote early care and education and identification of ways to engage children and families in the education system; 3) Identify opportunities for funding and explore ways to promote and leverage existing resources; 4) Promote access to products and activities of the CDD; 5) Support and promote their participation in the Race to the Top-Early Learning Challenge (RTT-ELC) Consortia and in the local Quality Rating and Improvement Systems (QRIS); 6) Include representation in the RTT-ELC Consortia state-level meetings as well as in specific workgroups (e.g., Family Engagement); and 7) Engage in dialogue to help build the cultural appropriateness of the RTT-ELC Hybrid matrix and its corresponding Quality Improvement and Professional Development Pathways.
For the remaining agencies, check and describe (optional) any with which the Lead Agency has chosen to coordinate early childhood and school-age service delivery		

Agency/Entity (check all that apply)		Describe how the Lead Agency will coordinate with this Agency/entity in delivering child care and early childhood services	Describe the goals or results you are expecting from the coordination
<input checked="" type="checkbox"/>	State/Territory agency with the Head Start Collaboration grant	The CDE is the grantee for the California Head Start-State Collaboration Office (CHSSCO). The CHSSCO Strategic Plan's overall goal is to support programs in providing quality services for high need children 0–5 and their families. The strategic plan focuses on this through two overarching goals: 1. Work toward more collaborative relationships and participation in state and local level policy work; and 2. Enhance the quality of services of Early Head Start and Head Start programs. The CHSSCO has an advisory group, which includes state, local and tribal representation.	Examples might include increased supply of full-day/full-year services, aligned eligibility policies, blended funding, or access to more training and technical assistance resources shared across agencies. The CHSSCO facilitates a braided funding workgroup which is charged with reducing barriers to agencies utilizing CCDF, Head Start, and state funding to provide full-day, full-year services. The advisory group assists the CHSSCO in completing the yearly work plan and works collaboratively to inform and education the field on braided funding.
<input checked="" type="checkbox"/>	State/Territory agency responsible for Race to the Top – Early Learning Challenge (RTT-ELC) <input type="checkbox"/> N/A: State/Territory does not participate in RTT-ELCE	The CDE is the lead fiscal agency for the RTT-ELC grant. The end goal of California's RTT-ELC effort is that young children, particularly those who are low-income, English learners, or children with disabilities or developmental delays have access to high quality early learning programs so that they thrive in their early learning settings and succeed in kindergarten and beyond. To achieve its ambitious	The objective of the RTT-ELC grant is to improve the quality of early learning programs and close the achievement gap for children with high needs , such as those who are low-income, English learners, and children with disabilities or developmental delays. The CDE and Consortia partners will focus on strengthening the quality of Early Learning and Development Programs and increasing access to them especially for children with high needs. The RTT-ELC results fall into several categories:

Agency/Entity (check all that apply)	Describe how the Lead Agency will coordinate with this Agency/entity in delivering child care and early childhood services	Describe the goals or results you are expecting from the coordination Examples might include increased supply of full-day/full-year services, aligned eligibility policies, blended funding, or access to more training and technical assistance resources shared across agencies.
	<p>goal, California is taking a unique approach that builds upon the state's local and statewide successes. The majority of the RTT-ELC funding is supporting the development and expansion of successful local programs that are focused on increased outcomes for children with high needs by implementing local QRIS. Over the four years of the grant, the CDE is collaborating with 17 Regional Leadership Consortia (Consortia) in 16 counties to ensure positive outcomes for the state's infants, toddlers and preschoolers. This will allow locals to develop and maintain control over their own quality improvement processes and build off of local investments, from First 5 County Commissions and others, while still allowing counties to coordinate efforts when feasible and share lessons learned.</p> <p>The number of children under five-years-of-age in these 16 counties is almost 1.9 million, representing 70 percent of the total children birth to five in California.</p>	<p>High-Quality, Accountable Programs (QRIS)</p> <ul style="list-style-type: none"> California will support an Early Learning Challenge network of 16 Regional Leadership Consortia (Consortia) who volunteer to align their local QRIS to the Quality Continuum Framework Hybrid Matrix with three common tiers and to mentor peers across the state. Through this QRIS framework, the Consortia also will support alignment of local quality improvement projects and other related services and will leverage local funds. The California Department of Social Services (DSS) will enhance their state licensing website to provide professional development and licensing information to providers and parents. Consortia will increase the quality and number of Early Learning and Development programs that provide high-quality, linguistically and culturally appropriate service to children with high needs, including infants and toddlers, dual language learners, and children with disabilities and other special needs. The CDE will work with an evaluation contractor to support a rigorous evaluation and provide deeper insight into what common elements make

Agency/Entity (check all that apply)	Describe how the Lead Agency will coordinate with this Agency/entity in delivering child care and early childhood services	Describe the goals or results you are expecting from the coordination Examples might include increased supply of full-day/full-year services, aligned eligibility policies, blended funding, or access to more training and technical assistance resources shared across agencies.
	<ul style="list-style-type: none"> • Alameda: First 5 Alameda • Contra Costa: First 5 Contra Costa • El Dorado: First 5 El Dorado • Fresno: Fresno County Office of Education • Los Angeles: LA STEP & Los Angeles Universal Preschool (LAUP) • Merced: Merced County Office of Education • Orange: Orange County Office of Education • Sacramento: Sacramento County Office of Education • San Diego: First 5 San Diego • San Francisco: First 5 San Francisco • San Joaquin: First 5 San Joaquin • Santa Barbara: First 5 Santa Barbara • Santa Clara: First 5 Santa Clara • Santa Cruz: First 5 Santa Cruz • Ventura: First 5 Ventura • Yolo: First 5 Yolo <p>By joining California's RTT-ELC effort, the Consortia voluntarily</p>	<p>the greatest impact on improving quality and are associated with improved school readiness. Specifically, the CDE is planning a program evaluation which will provide critical information on the indicators of quality in early learning programs that are linked to improved child outcomes, as well as identify challenges and opportunities for implementing a QRIS at the local level in communities throughout California. More specifically, the evaluation will 1) assess the validity and reliability of the three common tiers in the QRIS of participating RTT-ELC Consortia and determine if the tiers accurately reflect differential levels of program quality; 2) determine whether and to what extent the local QRIS, supporting California RTT-ELC QRIS Hybrid Rating Matrix and RTT-ELC Professional Development Pathways, and inputs and activities were used as intended during the implementation process and promise to be effective in mentoring efforts; and 3) assess the extent to which the local QRIS Technical Assistance (TA) and quality improvement activities improve program quality and which core elements and framework tools used in the QRIS ratings are</p>

Agency/Entity (check all that apply)	Describe how the Lead Agency will coordinate with this Agency/entity in delivering child care and early childhood services	Describe the goals or results you are expecting from the coordination Examples might include increased supply of full-day/full-year services, aligned eligibility policies, blended funding, or access to more training and technical assistance resources shared across agencies.
	<p>agreed to align their local QRIS to a “Quality Continuum Framework” (Framework) based on research-based elements and related assessment and improvement tools with three common tiers as additional locally-determined tiers. The Consortia are setting local goals to improve the quality of early learning and development programs in the following three areas:</p> <ol style="list-style-type: none"> 1. Child development and readiness for school; 2. Teachers and teaching; and 3. Program and environment quality. <p>The Consortia will implement their RTT-ELC QRIS framework starting in 2013 and will engage Early Learning & Development Programs in their local rating and quality improvement process with a prioritization for programs serving children with high needs.</p> <p>In addition to the Consortia, the CDE will also partner with five other participating state agencies (PSAs) and is also contracting with some</p>	<p>most associated with successful outcomes and progress in children’s learning, development, and school readiness. In the end, we will have deeper insight into what rating approach and common rating and professional development elements make the greatest impact on improving quality and are associated with improved school readiness; recommendations for broader implementation and any suggested modifications; and the effectiveness of quality rating and improvement systems and the RTT-ELC QRIS Rating Matrix and Professional Development Pathways.</p> <p>Promoting Early Learning and Development Outcomes for Children</p> <ul style="list-style-type: none"> • The CDE will expand and support the implementation of the California Collaborative on the Social and Emotional Foundations for Early Learning (CA CSEFEL) in order to promote the social and emotional development and school readiness of young children. • The CDE will expand training for early childhood educators in the assessment of social-emotional learning, which includes the certification of coaches and trainers.

Agency/Entity (check all that apply)	Describe how the Lead Agency will coordinate with this Agency/entity in delivering child care and early childhood services	Describe the goals or results you are expecting from the coordination Examples might include increased supply of full-day/full-year services, aligned eligibility policies, blended funding, or access to more training and technical assistance resources shared across agencies.
	<p>PSAs and other agencies to provide related resources, training and technical assistance. The PSAs include: California Department of Developmental Services (DDS), California Department of Public Health (CDPH), California Department of Social Services (DSS), California State Board of Education (SBE), and First 5 California.</p> <p>The CDE is using a portion of the RTT-ELC grant funds to make several one-time investments in state capacity via the following RTT-ELC contracts:</p> <p>Home Visiting: WestEd Center for Child and Family Studies (CCFS) and WestEd Center for Prevention and Early Intervention (CPEI) Provide training to local California Home Visiting Program staff on implementing the Program for Infant/Toddler Care (PITC) practices and on the “Three R’s of Early Childhood: Relationships, Resilience, and Readiness” (Three R’s) models and support</p>	<ul style="list-style-type: none"> • Consortia will implement the CSEFEL model and mentor other partner sites. • The CDE will expand implementation of annual developmental and behavioral screening using standardized, validated screening tools, and offer related training and technical assistance to program staff. • All Consortia have agreed to implement annual developmental and behavioral screening using standardized, validated screening tools; Consortia will offer related training and technical assistance to program staff. <p>Great Early Educator Workforce</p> <ul style="list-style-type: none"> • Early educators in the Early Learning and Development Programs participating in the local QRIS will receive increased professional development including training linked to the Quality Improvement and Professional Development Pathways and degree applicable units. • Early Learning core curricula at California Community Colleges will be expanded to include aligned coursework on infants and toddlers, children with special needs, and program administration. • Web-based training resources for early learning educators will be created to facilitate wider

Agency/Entity (check all that apply)	Describe how the Lead Agency will coordinate with this Agency/entity in delivering child care and early childhood services	Describe the goals or results you are expecting from the coordination Examples might include increased supply of full-day/full-year services, aligned eligibility policies, blended funding, or access to more training and technical assistance resources shared across agencies.
	<p>module development of the Three R's focused on home visiting.</p> <p>Screening Tool Training and Distribution: TBD Provide "Ages and Stages" screening tools and materials for training and distribution to CDE Child Development Division contracted programs and local Consortia members for distribution to programs participating in their local QRIS.</p> <p>Curricula Development for Higher Education: Child Development Training Consortium (Yosemite Community College, Curriculum Alignment Project. Facilitate and coordinate unit-based course alignment for three additional child development content areas: Infant/toddler; children with special needs; and program administration.</p> <p>California Collaborative for the Social and Emotional Foundations of Early Learning (CA CSEFEL): WestEd CCFS Create a web-based overview of the CSEFEL teaching pyramid; build a</p>	<p>distribution.</p> <ul style="list-style-type: none"> • Train-the-trainer instruction will be provided to center Director Mentors on the Program Administration Scale (PAS) and to Family Child Care Mentors on the Business Administration Scale (BAS). • Learning community (cohort) support will be provided to early educators. • The Early Childhood Educator Competencies will be integrated into higher education coursework.

Agency/Entity (check all that apply)	Describe how the Lead Agency will coordinate with this Agency/entity in delivering child care and early childhood services	Describe the goals or results you are expecting from the coordination Examples might include increased supply of full-day/full-year services, aligned eligibility policies, blended funding, or access to more training and technical assistance resources shared across agencies.
		<p>network of regional CA CSEFEL trainers and coaches; and support and expand implementation of the CSEFEL teaching pyramid to fidelity in interested sites in the local Consortia.</p> <p>California Department of Social Services (DSS), Community Care Licensing Division (CCL) Web site Enhance the DSS, CCL Web site to include educational and training materials for consumers and child care providers.</p> <p>Linking Kindergarten Entry Data: CDE and UC Berkeley Evaluation and Research (BEAR) Center Ensure that Kindergarten entry assessment information, namely the Desired Results Developmental Profile – School Readiness (DRDP-SR) results, can be linked to California Longitudinal Pupil Achievement Data System (CALPADS).</p> <p>Program Administration Scale (PAS)/Business Administration Scale (BAS) Training: California Early Childhood Mentor</p>

Agency/Entity (check all that apply)	Describe how the Lead Agency will coordinate with this Agency/entity in delivering child care and early childhood services	Describe the goals or results you are expecting from the coordination Examples might include increased supply of full-day/full-year services, aligned eligibility policies, blended funding, or access to more training and technical assistance resources shared across agencies.
	<p>Program Provide "Train-the-trainer" instruction on the PAS and the BAS tools to Director Mentors and Family Child Care Home Mentors to support administrative technical assistance to centers and family child care homes participating in the local Consortia QRISs.</p> <p>Electronic Training Materials on Existing Content: WestEd CCFS (Foundations & Frameworks) and Environment Rating Scales (ERS) Institute, Branagh Information Group, Inc. Develop online overviews of the Infant/Toddler Learning and Development Foundations and the Preschool Learning Foundations and their respective Frameworks and of the ERS.</p> <p>Comprehensive System of Personnel Development for Early Start: California Department of Developmental Services and WestEd CPEI Provide coordinated training for early intervention program staff and support</p>	

Agency/Entity (check all that apply)		Describe how the Lead Agency will coordinate with this Agency/entity in delivering child care and early childhood services	Describe the goals or results you are expecting from the coordination
		<p>implementation of best practices in developmental and health screening at the local level in collaboration with the Consortia.</p> <p>TBD: The CDE will work with an evaluation contractor to support a rigorous evaluation and provide deeper insight into what common elements make the greatest impact on improving quality and are associated with improved school readiness.</p>	<p>Examples might include increased supply of full-day/full-year services, aligned eligibility policies, blended funding, or access to more training and technical assistance resources shared across agencies.</p>
<input type="checkbox"/>	State/Territory agency responsible for the Child and Adult Care Food Program (CACFP)		
<input checked="" type="checkbox"/>	<p>State/Territory agency responsible for programs for children with special needs</p> <p>This may include, but is not limited to: State/Territory early intervention programs authorized under the Individuals with Disabilities Education Act (Part C for infants and toddlers and Section 619 for preschool), or other State/Territory agencies that support children with special needs</p>	<p>Coordination with the Map to Inclusive Child Care Project (Map Project) began in state fiscal year 1998–99. Stakeholders in the Map Project include representatives from early childhood programs, Head Start, CDE’s Special Education Division, key state agencies such as the California Departments of Developmental Services, Social Services, and Mental Health, and professional organizations providing support services for children with disabilities</p>	<p>Map to Inclusive Child Care and Center on the Social and Emotional Foundations for Early Learning (CSEFEL) has been an ongoing activity in California’s CCDF State Plan. The purpose is to expand opportunities for inclusion of children with disabilities and other exceptional needs in child care settings.</p>

Agency/Entity (check all that apply)		Describe how the Lead Agency will coordinate with this Agency/entity in delivering child care and early childhood services	Describe the goals or results you are expecting from the coordination
		and their families.	
<input type="checkbox"/>	State/Territory agency responsible for implementing the Maternal and Early Childhood Home Visitation programs grant		
<input type="checkbox"/>	State/Territory agency responsible for child welfare		
<input checked="" type="checkbox"/>	State/Territory liaison for military child care programs or other military child care representatives	California is one of 13 states participating in the Department of Defense funded Military Child Care Liaison Project. The Lead Agency has met with the Liaison assigned to California to assist in identifying current state efforts, priorities, and quality initiatives that impact the ability of military families to access high quality off installation child care services in their communities. The Lead Agency will collaborate with the Liaison to coordinate efforts in the planning and development of priorities and quality initiatives of mutual interest.	Increased awareness of the child care needs of military families. Alignment of plans, goals and priorities of mutual interest. Opportunities to strengthen the quality of child care in the community and the professional development system. Opportunities to improve licensing requirements and efficient and effective oversight. Access to affordable, high quality, off installation child care for military families in their communities.

Agency/Entity (check all that apply)		Describe how the Lead Agency will coordinate with this Agency/entity in delivering child care and early childhood services	Describe the goals or results you are expecting from the coordination
<input checked="" type="checkbox"/>	Private agencies/entities including national initiatives that the Lead Agency is participating in such as BUILD, Strengthening Families, Mott Statewide After-school Networks, Ready by 21	<p>Center on the Social and Emotional Foundations for Early Learning (CSEFEL): work with National Center and state agencies to support social-emotional development by continuing the state's CSEFEL Leadership Team meetings.</p> <p>National Early Childhood Data Collaborative (ECDC): work with ECDC to understand the role of data in addressing early childhood policy issues.</p>	<p>Examples might include increased supply of full-day/full-year services, aligned eligibility policies, blended funding, or access to more training and technical assistance resources shared across agencies.</p> <p>A ready cadre of CSEFEL trainers to support local implementation of the CSEFEL pyramid model; infusion of CSEFEL principles across child care, special education, children's mental health, and child welfare.</p> <p>Creation of a state early childhood data system that adopts best practices identified by ECDC.</p>

Agency/Entity (check all that apply)		Describe how the Lead Agency will coordinate with this Agency/entity in delivering child care and early childhood services	Describe the goals or results you are expecting from the coordination
☒	Local community organizations (child care resource and referral, Red Cross)	<p>The CDE contracts with Child Care Resource and Referral (R&R) agencies located in every county. R&Rs provide a well developed system that supports parents, providers, and local communities in finding, planning for, and providing affordable, quality child care.</p>	<p>Examples might include increased supply of full-day/full-year services, aligned eligibility policies, blended funding, or access to more training and technical assistance resources shared across agencies.</p> <p>The local R&Rs provide a variety of services including: 1) assistance in finding appropriate child care; 2) maintaining a comprehensive database of child care providers in their communities; 3) working with providers to improve the quality of child care and to maintain and expand the supply of child care in each county; 4) providing training and other services to help providers stay in business; 5) compiling information on the statewide supply and demand for child care; and 6) educating local communities and leaders on child care issues.</p>
		<p>The CDE, in conjunction with Safe Kids CA, works to reduce unintentional childhood injuries and death, from birth through age 14.</p>	<p>The CDE also works with local R&R agencies to facilitate and support California Emergency Services Authority approved health and safety child care provider course work.</p>
		<p>Local Child Care and Development Planning Councils: work with LPCs to determine funding priorities and assist with fund transfer. CDE works with the LPCs to determine funding priorities and assist with fund transfer.</p>	<p>Strategies of public awareness, education and public policy are implemented. Local coalitions provide educational trainings for the community.</p> <p>Full utilization of county child care and development funds to ensure maximum number of children served in high quality child development programs.</p>
☒	Provider groups, associations or labor organizations	CDE meets with County Welfare Directors Association of California on a regular basis to	Coordination of child care services between CalWORKs Stage 1 child care (through County Welfare Directors) and CalWORKs Stage 2

Agency/Entity (check all that apply)		Describe how the Lead Agency will coordinate with this Agency/entity in delivering child care and early childhood services	Describe the goals or results you are expecting from the coordination
		<p>discuss common issues and concerns.</p> <p>The CDE meets with early childhood education stakeholders to ensure research-based CDD publications address needs of the field.</p> <p>CDE meets on a regular basis with organizations, associations, and individuals regarding the administration of child development programs.</p>	<p>Examples might include increased supply of full-day/full-year services, aligned eligibility policies, blended funding, or access to more training and technical assistance resources shared across agencies.</p> <p>child care (through CDE-contracted alternative payment agencies).</p> <p>Foundations (state's early learning guidelines), curriculum frameworks, and other ECE documents that promote high quality early learning principles and practices.</p> <p>Proposals by the current Administration, or State Legislators, have the potential to substantially alter the structure and funding of existing child development programs administered by CDE. This coordination and information-sharing will support maintaining the current child development infrastructure (including that of professional development) as well as protect funding.</p>
<input checked="" type="checkbox"/>	Parent groups or organizations		
<input type="checkbox"/>	Other		

1.5.2. Does the State/Territory have a formal early childhood and/or school-age coordination plan? Lead Agencies are not required to have an early childhood nor a school-age coordination plan, but the State/Territory may have such plans for other purposes, including fulfilling requirements of other programs.

- ☐ Yes. If yes,
- Provide the name of the entity responsible for the coordination plan(s):
 - Describe the age groups addressed by the plan(s):
 - Indicate whether this entity also operates as the State Advisory Council (as authorized under the Head Start Act of 2007):

☐ Yes
☐ No

d) Provide a web address for the plan(s), if available: _____

☒ No : The CDE does provide funding for an activity that focuses on school-age program professionals, supports the retention of trainers for the state-funded *Kid's Time* training of trainer's institutes, and provides community-based training to staff working in before- and after-school programs. Training activities include developmentally appropriate practices for school-age programs, behavior management techniques, creating positive interpersonal environment, assessing children's interests, building partnerships with parents, strengthening links with the child's school, and encouraging community participation.

1.5.3. Does the State/Territory have a designated entity(ies) responsible for coordination across early childhood and school-age programs?

(658D(b)(1)(D), §98.14(a)(1)) Check which entity(ies), if any, the State/Territory has chosen to designate.

☐ State/Territory-wide early childhood and/or school-age cabinet/advisory council/task force/commission.

If yes, describe entity, age groups and the role of the Lead Agency

☐ State Advisory Council (as described under the Head Start Act of 2007).

If yes, describe entity, age groups and the role of the Lead Agency

☐ Local Coordination/Council

If yes, describe entity, age groups and the role of the Lead Agency

☒ Other.

Describe California has been coordinating across early childhood programs for many years. In 1980, the Legislature passed the Child Care and Development Services Act as part of the Education Programs – Master Plan section of the Education Code. Education Code Section 8201 states: "The purpose of this chapter is as follows:

- To provide a comprehensive, coordinated, and cost-effective system of child care and development services for children to age 13 and their parents, including a full range of supervision, health, and support services through full- and part-time programs.
- To encourage community-level coordination in support of child care and development services.
- To provide an environment that is healthy and nurturing for all children in child care and development programs.
- To provide the opportunity for positive parenting to take place through understanding of human growth and development.
- To reduce strain between parent and child in order to prevent abuse, neglect, or exploitation.
- To enhance the cognitive development of children, with particular emphasis upon those children who require special assistance, including bilingual capabilities to attain their full potential.
- To establish a framework for the expansion of child care and development services.

- To empower and encourage parents and families of children who require child care services to take responsibility to review the safety of the child care program or facility and to evaluate the ability of the program or facility to meet the needs of the child.”

Head Start was added to the Master Plan section in 2001.

The CDE has promoted extensive coordination across different program types, funding streams, and state agencies regarding professional development; infant/toddler learning and development foundations, preschool learning foundations (early learning guidelines); child and family outcomes; assessment, evaluation, and accountability; and curriculum frameworks.

The CDE, as Lead Agency, plays a key role in coordinating across early childhood programs. Several programs are under its scope of responsibility: the Child Care and Development Fund, State Preschool, the Head Start-State Collaboration Office, and public school programs such as Even Start, Title I preschool, and Early Reading initiatives.

Another significant area of coordination is with the state TANF agency, the CDSS. The CDE maintains an ongoing, collaborative relationship with the CDSS to establish consistent state policies for a seamless system of welfare-related child care services in California.

The CDE, CDD has promoted coordination regarding the child outcomes, professional development, curriculum, assessment, and evaluation through a variety of direct service program types:

- CDD-funded center-based programs and Family Child Care Home Education Networks, including state preschool programs, child development centers, and private programs
- Even Start
- Head Start co-located with State Preschool programs
- Early childhood special education programs or child development programs serving children with individual family service plans (IFSPs) or individualized education programs (IEPs) (involving CDE funds)
- Private preschool programs with no state funds
- Montessori programs
- Tribal agencies with CDE funds
- First 5 Child Signature Program (CSP) funds through both First 5 California and participating First 5 county commissions
- Los Angeles Universal Preschool (LAUP), the universal preschool program funded by the First 5 Los Angeles County Commission (includes the CSP funds mentioned above)

In addition to these direct service programs, other CDD-funded program types are involved in adopting aspects of the CDE’s professional development system, child outcomes, infant/toddler learning and development foundations, preschool learning foundations, assessment and evaluation, and curriculum framework. These program types include the R&R agencies that train APP staff, family child care providers, or staff in private programs on the CDE quality components mentioned above. The

CDE's LPC also convey information on the quality components to agencies and constituents other than the groups mentioned above. When the CDE Desired Results system began in 1996, these requirements were established for CDD-funded center-based programs and family child care home education networks that serve children, birth to 13 years of age. Head Start programs in California have developed a DRDP Plus document that combines both state and Head Start requirements. Many other child care programs have begun to adopt these quality components on a voluntary basis.

None

1.5.4. Does the Lead Agency conduct or plan to conduct activities to encourage public-private partnerships that promote private sector involvement in meeting child care needs? (§98.16(d))

- ☒ Yes. If yes, **describe** these activities or planned activities, including the tangible results expected from the public-private partnership

A. Child Care Initiative Project

The Child Care Initiative Project was created in 1985, in conjunction with the Bank of America, to address the shortage of licensed, quality family child care in California. The project is conducted by the nonprofit California Child Care Resource and Referral Network through state and federally funded R&R agencies throughout the state. State general funds are matched on a 2:1 basis with private corporate or foundation funds. To date, the Project has raised nearly \$11 million dollars from public and private funders. The funds from the project are used to build the supply of family child care in the following stages:

1. Assess local supply and demand for child care services to pinpoint specific geographic areas in need of additional services
2. Recruit interested individuals who have the potential to become licensed family child care home providers
3. Train these individuals to provide quality care and to manage a small business effectively
4. Provide technical assistance to help individuals get licensed and begin operation
5. Provide ongoing support so the providers can stay in operation

The funding is distributed statewide based on the availability of matching funds to local Resource and Referral Agencies. The grants are used to increase the supply of licensed family child care providers, to train family child care providers, to promote the retention of family child care providers in the profession and to increase the overall quality of the child care services offered to families. The Initiative is the largest public-private partnership designed to increase the supply of quality child care in the country.

In addition to the public/private partnerships noted above since 1992 the CCIP, through CCDF funding has been expanded to include every county of California and supports the range of diversity in cultures and language represented by the families and caregivers in California. CCIP has targeted its recruitment and training of family child care providers to meet the changing

child care needs of the parents. Specifically, CCIP funds have been used to support projects that increase the supply for infant toddler and for child care for non-English speaking families. Many of the CCIP project sites recruit and train providers who speak Spanish, Vietnamese, Chinese, Russian, Hmong, Farsi and other languages.

B. The Program for Infant/Toddler Care

This is a comprehensive, research-based, multimedia program initially designed to provide high-quality training materials and training for trainers of infant/toddler teachers in center-based and family child care programs. In recent years, the training activities have been expanded to include on-site training and technical assistance for center-based programs and small groups of family child care providers; seminars for teams of faculty and infant/toddler teachers from community colleges; and regional institutes for infant/toddler program directors. The Programs for Infant Toddler Care (PITC) has been developed and is being implemented through a long-term collaborative partnership between the CDE and WestEd to improve the quality and quantity of child care services for children from birth to three years of age. Funds used to develop the PITC included state general fund carry-over dollars, WestEd funds, and grants from several private foundations, including the Carnegie Foundation, Ford Foundation, and Irving Harris Foundation. PITC training materials are jointly owned by the CDE and WestEd. Proceeds from the sale of the products are used by the PITC to update existing materials, create additional training resources, and support training activities. CCDF dollars are used in California to support annual training of new trainers and to conduct graduate seminars for endorsed PITC trainers every two years. PITC training participants and graduates receive online support through an Internet distribution list. A PITC Web site sponsored by WestEd features current articles, PowerPoint presentations, copies of all the materials used in the institutes, a list of certified trainers, and other pertinent resources. Approximately 20 of the First 5/Children and Families county commissions have established contracts with WestEd to provide additional training and technical assistance in their counties to expand and enhance PITC activities to further improve the quality of services for infants and toddlers in child care settings. Approximately 15 other states and the migrant and Early Head Start programs have also benefited from the PITC training over the past several years. In addition, representatives from all 50 states have participated in the California institutes. Internationally, the PITC philosophy and recommended best practices are being used in a small privately-funded pilot program to improve care for children living in orphanages.

C. Early Childhood Educator Competencies

The CDE, in partnership with the First 5 California/Child and Families Commission, worked with an expert panel of early childhood educators and professionals to develop Early Childhood Educator (ECE) Competencies which include the CDE Infant/Toddler and Preschool Foundations and Frameworks. The ECE competencies describe core knowledge and skills of early childhood educators who work with children birth to five years of age. As recommended in the QRIS report to the California state legislature, these competencies will be reflected in courses for Associate and Bachelor

degrees, and delivered statewide. Community colleges across California that offer early learning and care programs will incorporate the “core eight” classes and additional courses to reflect designated lower division ECE competencies into their degree programs. Universities of higher education in California will align their courses to a common and comprehensive course of study across the two and four-year degree system. Through this project, California’s goal is to develop and retain a competent, diverse, and stable workforce of early childhood educators. This work will also be used to update and modify the Child Development Permit Matrix, a career ladder approach.

D. Race to the Top-Early Learning Challenge (RTT-ELC)

The California Department of Education (CDE) is the lead fiscal agency for California’s federal RTT-ELC grant. California’s RTT-ELC grant implements a unique approach that builds upon California’s local and statewide successes to create sustainable capacity at the local level to meet the needs of our early learners, with a focus on those with the highest needs. Approximately 74 percent of California’s RTT-ELC grant funding is being spent at the local level to support a voluntary network of 17 Regional Leadership Consortia (Consortia) each led by an established organization that is already operating or developing a Quality Rating and Improvement System (QRIS) or Quality Improvement System (QIS) and brings additional local resources and expertise to RTT-ELC. The number of children under five-years-of-age in these 16 counties is almost 1.9 million which represent almost 70 percent of the total children birth to five in California.

As part of this grant, the Consortia are bringing together organizations in their regions with the same goal of improving the quality of early learning and are expanding their current areas of impact by inviting other programs to join their QRIS or reaching out to mentor other communities. By joining California’s RTT-ELC effort, the Consortia voluntarily agreed to align their local QRIS to a common “Quality Continuum Framework” (Framework) based on research-based elements and related assessment and improvement tools. Based on federal requirements, the Consortia also agreed to implement in their QRISs three common tiers using the Framework as well as additional locally-determined tiers. They are setting local goals to improve the quality of early learning and development programs in the following three areas:

1. Child development and readiness for school;
2. Teachers and teaching; and
3. Program and environment quality.

The end goal that unites these Consortia is to: *Ensure that children in California have access to high quality programs so that they thrive in their early learning settings and succeed in kindergarten and beyond.* In addition to an evaluation to validate the effectiveness of the Consortia QRISs and the three common tiers, California is using a portion of the RTT-ELC grant funds to make several one-time investments in state capacity.

☐ No.

1.6. Child Care Emergency Preparedness and Response Plan

It is recommended, but not required, that each Lead Agency develop a plan to address preparedness, response, and recovery efforts specific to child care services and programs. Plans should cover the following areas: 1) planning for continuation of services to CCDF families; 2) coordination with other State/Territory agencies and key partners; 3) emergency preparedness regulatory requirements for child care providers; 4) provision of temporary child care services after a disaster; and 5) rebuilding child care after a disaster. For further guidance on developing Child Care Emergency Preparedness and Response Plans see the Information Memorandum (CCDF-ACF-IM-2011-XX) located at http://www.acf.hhs.gov/programs/ccb/law/state_topic_emergency.htm on the Office of Child Care website.

1.6.1. Indicate which of the following best describes the current status of your efforts in this area. Check only ONE.

- ☐ **Planning.** Indicate whether steps are under way to develop a plan. If so, describe the time frames for completion and/or implementation, the steps anticipated and how the plan will be coordinated with other emergency planning efforts within the State/Territory.
- ☐ **Developed.** A plan has been developed as of [insert date] and put into operation as of [insert date], if available. Provide a web address for this plan, if available: _____

☒ **Other. Describe:**

In the event of an emergency, the CDE CDD will contact all of its contracted agencies using its listserv, which includes child care centers, family child care home networks, and Resource and Referral agencies. For example, following the school shooting at Sandy Hook Elementary School in Newtown, Connecticut, the CDE CDD distributed via its listserv a publication from the Administration for Children and Families of guidance for families.

The CDE has developed and published a disaster preparedness manual and accompanying video to help child care centers and family child care homes prepare to cope with disasters if they occur (Taking Charge: A Disaster Preparedness Guide for Child Care and Development Centers, Taking Charge: Coping with Disaster (Video)). This disaster preparedness manual and video demonstrate what child care providers need to do in the event of a disaster. They cover what can be done before, during, and after a disaster. The manual and video are divided in to four sections: preparing for disaster, coping with disaster, response and recovery, and educational resources and information.

The manual and video point out that in the event of a disaster, physical survival and emotional health can depend upon how well a program has prepared before a disaster ever occurs, and on how effectively the plan is carried out when the disaster happens. The manual and video provide disaster recovery strategies that include triage and first aide, provision of child care, food service, and maintaining communications.

The California Code of Regulations (CCR) Title 22 §101174 requires that each licensed child care program develop a disaster and mass casualty plan. Licensed

child care and development programs, both center-based and family child care homes, are required to practice emergency evacuation procedures on a monthly basis. California Education Code 8271 gives the CDE the authority and ability to fund child care programs if they are closed due to a disaster or unforeseen emergency. The CDE has the authority to ensure that contractors continue to receive apportionments during an emergency, thus ensuring the continuity of child care services to children and families during a disaster.

CDD-funded child care programs must develop their own plans including steps to be taken before, during, and after an emergency. The CDE CDD developed pertinent Frequently Asked Questions regarding emergency preparedness as it relates to early care and education programs, along with information about helpful web sites, and disseminated this information to CDE funded child care programs via its listserv. The CDE CDD will coordinate with the CDSS, Community Care Licensing Division (CCLD), to ensure that all child care centers and family child care homes, both those operating under CCR Title 22 and Title 5 regulations receive essential and critical information during an emergency. The CDE CDD plans to provide guidance and assistance to its child care and development to its program contractors regarding topics and activities that include:

- Planning for a pandemic - ideas to assist children, families, and staff during a pandemic emergency
- Available resources - how to obtain up-to-date information
- A kit containing useful web sites, sample letters to parents and staff, checklist, etc.

During the last several years, in response to the possibility of a pandemic influenza outbreak, the CDE has developed a series of resources. Although at the present time there is no pandemic, there is concern among public health officials that one could occur. The CDE CDD developed a plan to communicate with child development contractors about pandemic flu emergency planning, mitigation, and potential closures ordered by the state health officer.

1.6.2. Indicate which of the core elements identified in the Information Memorandum are or will be covered in the Lead Agency child care emergency preparedness and response plan. Check which elements, if any, the Lead Agency includes in the plan.

- ☒ Planning for continuation of services to CCDF families
- ☒ Coordination with other State/Territory agencies and key partners
- ☒ Emergency preparedness regulatory requirements for child care providers
- ☒ Provision of temporary child care services after a disaster
- ☒ Rebuilding child care facilities and infrastructure after a disaster
- ☐ None

PART 2

CCDF SUBSIDY PROGRAM ADMINISTRATION

This section focuses on the child care assistance program. Lead Agencies are asked to describe their efforts to inform parents about the CCDF subsidy program and application policies and procedures, eligibility criteria, sliding fee scale, payment rate policies and procedures, and how Lead Agencies ensure continuity of care and parental choice of high quality settings for families.

2.1. Administration of the Program

The Lead Agency has broad authority to administer (i.e., establish rules) and operate (i.e., implement activities) the CCDF program through other governmental, non-governmental, or other public or private local agencies as long as it retains overall responsibility for the administration of the program. (658D(b), §98.11(a))

2.1.1. Which of the following CCDF program rules and policies are set or established at the State/Territory versus the local level? Identify the level at which the following CCDF program rules and policies are established.

- ☒ Eligibility rules and policies (e.g., income limits) are set by the:
- ☒ State/Territory
- ☐ Local entity. If checked, provide the name(s) of the local entity _____
- ☐ Other. Describe: _____
- ☒ Sliding fee scale is set by the:
- ☒ State/Territory
- ☐ Local entity. If checked, provide the name(s) of the local entity _____
- ☐ Other. Describe: _____
- ☒ Payment rates are set by the:
- ☒ State/Territory
- ☐ Local entity. If checked, provide the name(s) of the local entity _____
- ☐ Other. Describe: _____

2.1.2. How is the CCDF program operated in your State/Territory? In the table below, identify which agency(ies) performs these CCDF services and activities.

Implementation of CCDF Services/Activities	Agency (Check all that apply)
Who determines eligibility? Note: If different for families receiving TANF benefits and families not receiving TANF benefits, please describe: _____	<input type="checkbox"/> CCDF Lead Agency <input type="checkbox"/> TANF agency <input type="checkbox"/> Other State/Territory agency. Describe. <input checked="" type="checkbox"/> Local government agencies such as county welfare or social services departments <input type="checkbox"/> Child care resource and referral agencies <input checked="" type="checkbox"/> Community-based organizations

Implementation of CCDF Services/Activities	Agency (Check all that apply)
	<input checked="" type="checkbox"/> Other. Describe. Public and private agencies under contract with CDE, including local education agencies.
Who assists parents in locating child care (consumer education)?	<input type="checkbox"/> CCDF Lead Agency <input type="checkbox"/> TANF agency <input type="checkbox"/> Other State/Territory agency. Describe. _____ <input checked="" type="checkbox"/> Local government agencies such as county welfare or social services departments <input checked="" type="checkbox"/> Child care resource and referral agencies <input checked="" type="checkbox"/> Community-based organizations <input type="checkbox"/> Other. Describe. _____
Who issues payments?	<input checked="" type="checkbox"/> CCDF Lead Agency <input type="checkbox"/> TANF agency <input type="checkbox"/> Other State/Territory agency. Describe. _____ <input checked="" type="checkbox"/> Local government agencies such as county welfare or social services departments <input type="checkbox"/> Child care resource and referral agencies <input checked="" type="checkbox"/> Community-based organizations <input checked="" type="checkbox"/> Other. Describe. Public and private agencies under contract with CDE, including local education agencies.
Describe to whom is the payment issued (e.g., parent or provider) and how are payments distributed (e.g., electronically, cash, etc.)	Payments are issued to child care providers by local agencies as reimbursement for services provided, or payment is issued directly from the lead agency to contracted programs or centers and family child care home education networks.
Other. List and describe:	

2.2. Family Outreach and Application Process

Lead Agencies must inform parents of eligible children and the general public of the process by which they can apply for and potentially receive child care services. (658D(b)(1)(A), 658E(c)(2)(D) & (3)(B), §§98.16(k), 98.30(a)-(e). **Note** - For any information in questions 2.2.1 through 2.2.10 that differs or will differ for families receiving TANF, please describe in 2.2.11.

2.2.1. By whom and how are parents informed of the availability of child care assistance services under CCDF? (658E(c)(2)(A), §98.30(a)) Check all agencies and strategies that will be used in your State/Territory.

- ☒ CCDF Lead Agency
- ☒ TANF offices
- ☐ Other government offices
- ☒ Child care resource and referral agencies
- ☒ Contractors
- ☐ Community-based organizations
- ☐ Public schools
- ☒ Internet (provide website): <http://www.cde.ca.gov/sp/cd/>
- ☒ Promotional materials

- ☒ Community outreach meetings, workshops or other in-person meetings
- ☐ Radio and/or television
- ☒ Print media
- ☒ Other. Describe: 800-KIDS-793 phone line for parents. Provides bilingual phone assistance to parents seeking child care using the caller's zip code, automated or live information specialist.

2.2.2. How can parents apply for CCDF services? Check all application methods that your State/Territory has chosen to implement.

- ☒ In person interview or orientation
- ☐ By mail
- ☒ By Phone/Fax
- ☐ Through the Internet (provide website) ____
- ☐ By Email
- ☐ Through a State/Territory Agency
- ☒ Through an organization contracted by the State/Territory Agency
- ☐ Other. Describe:

2.2.3. Describe how the Lead Agency provides consumer education to parents applying for CCDF assistance to promote informed choices about the quality of care provided by various providers in their communities.

Lead Agencies must certify that the State/Territory will collect and disseminate to parents of eligible children and the general public, consumer education information that will promote informed child care choices (658E (c)(2)(G), §98.33).

For example, memorandums of understanding with resource and referral agencies to provide consumer education to families applying for CCDF assistance, providing parents with provider lists showing licensing history and/or Quality Rating and Improvement System (QRIS) ratings, or informational brochures that address importance of quality and different care options available.

California maintains a large system of over 71 Resource and Referral (R&R) agencies that are providing services in every county in the state. In large urban counties, multiple R&R agencies are funded. For example, Los Angeles County has eight R&R agencies. R&R agencies maintain an up-to-date list of active licensed child care. California Department of Social Services is required by law to inform the R&Rs of any license change in status to include temporary suspension, license revocation or probation.

In addition, using CCDF funds, the California Child Care Resource and Referral Network maintains a statewide bilingual (English and Spanish) toll-free telephone number (1-800-KIDS-793) that automatically provides the caller with the phone number of the local R&R agency when the caller provides his/her zip code. The caller may also speak with an information specialist.

A primary role of the R&R programs is to maintain an updated file of all licensed child care programs (centers and family child care homes) in their service delivery area. The R&R

programs also provide information and technical assistance to parents using license-exempt providers and to license-exempt individuals on the TrustLine Registry background check program. When a parent calls an R&R agency seeking information about child care choices available to them, he/she is counseled about how to select the most appropriate care to meet the family's needs. At that time, he/she is given a list of several child care providers of the types and in the locations (whether near home, work, or place of training) in which he/she has indicated an interest. Parents are given advice on questions to ask their families' potential child care providers and what they should look for as indicators of quality child care services. Parents may be given written consumer education materials or receive an opportunity to view a video regarding the selection of a child care provider. Parents are also advised regarding the types of subsidized child care and development programs for which their families may be eligible and ways to access those programs. R&R program services are available to all families regardless of the family's income or need for child care.

When a family enters CalWORKs, the county welfare department (CWD) refers the family to a local R&R agency for assistance in finding child care. These services are co-located in or are directly accessible from the CWD office. R&R program services are available to all families regardless of the family's income or need for child care. R&R programs help parents understand the full range of options including their potential eligibility for CCDF subsidy services.

In addition, many CDE, CDD-contracted centers reach out to families in their communities through various advertising formats.

2.2.4. Describe how the Lead Agency will support child care programs to increase the likelihood that CCDF-served children receive higher quality care as defined in your State/Territory. For example, methods used to promote upward movement in quality rating and improvement system, methods used to encourage high quality programs to participate in the subsidy program such as tiered reimbursement, or incentives used to support high quality programs in rural, suburban, urban, and low-income communities. Subsidized parents can choose between a CDE, CDD-contracted center or family child care home education network setting or a voucher for a licensed center or family child care home or care by a family member, friend, or neighbor. California is in the process of implementing a quality rating and improvement system (QRIS). Tiered reimbursement and incentives to support quality programs are part of the discussion but have not been implemented across the state. A QRIS will inform parents of the quality of program, helping them to make informed choices.

Parents who choose services from a CDE, CDD direct service contractor have the benefit of requirements that ensure high quality programs. The CDE, CDD contracts with 739 private, public, and LEAs to provide child care and education services for low-income children. Historically, during the course of the year, more than 230,000 children receive care in these licensed facilities. Quality care strategies include:

- Teaching staff in licensed centers are required to have at least a Child Development Associate Teacher permit which requires including 12 college level units in the following areas: child/human growth & development; child/family/community or child and family relations; and programs/curriculum. These permits are renewed every five years and require upgrading through continuing education. Most teaching staff exceed this requirement.

- Adult-to-child staffing ratios are more in keeping with quality care. These include one adult caring for every three infants, one adult caring for every four toddlers, and one adult responsible for eight preschoolers.
- Semi-annual child observational assessments, using the Desired Results Developmental Profile 2010, which is used for meeting the needs of individual children and curriculum planning.
- Annual program review for continuous program improvement.
- Technical assistance by CDE, CDD consultants, which is provided via phone, e-mail, or on-site.
- Instructional staff are trained using state-developed quality resources, including:
 - The California Infant/Toddler Learning and Development Foundations
 - California Infant/Toddler Curriculum Framework
 - Infant/Toddler Learning and Development Program Guidelines
 - California Preschool Learning Foundations
 - The California Preschool Learning Foundations
 - California Preschool Curriculum Frameworks
 - Prekindergarten Learning and Development Guidelines
 - California Early Childhood Educator (ECE) Competencies
 - Center on the Social and Emotional Foundations for Early Learning (CSEFEL)

Quality improvement funds have been used to support the professional development of all providers to raise the quality of services for all children.

2.2.5. How will the Lead Agency promote access to the CCDF subsidy program? Check the strategies that will be implemented by your State/Territory.

- ☒ Provide access to program office/workers such as:
 - ☐ Providing extended office hours
 - ☒ Accepting applications at multiple office locations
 - ☒ Providing a toll-free number for clients
 - ☒ Email/online communication
 - ☐ Other. Describe: ____
- ☒ Using a simplified eligibility determination process such as by:
 - ☐ Simplifying the application form (such as eliminating unnecessary questions, lowering the reading level)
 - ☒ Developing a single application for multiple programs
 - ☐ Developing web-based and/or phone-based application procedures
 - ☒ Coordinating eligibility policies across programs. List the program names Eligibility definitions are the same or coordinated across programs. To receive services for full-day California State Preschool Programs (CSPP), Center-based Child Care, Family Child Home/Education Network, Migrant, and Alternative Payment Programs, require that the parent have one element of both eligibility and need as defined by California *Education Code* Section 8263. When a family enters CalWORKs, the county welfare department (CWD) can refer the family to the local Resource and Referral (R&R) agency for assistance in finding child care. In a number of cases, these services are co-located in or are directly accessible from the CWD office. R&R agencies assist parents to understand the full range of child care options including their potential eligibility for subsidized care.

- ☐ Streamlining verification procedures, such as linking to other program data systems
- ☒ Providing information multi-lingually : The CDE provides some key documents in multiple languages. Confidential Application for Child Development Services, Emergency Identification and Information, Notification and Certification, and Statement of Incapacity available in Chinese (simplified), Chinese (traditional), Hmong, Korean, Pilipino (Tagalog), Spanish and Vietnamese.
- ☒ Including temporary periods of unemployment in eligibility criteria for new applicants (job search, seasonal unemployment). Length of time 60 consecutive days with an additional 20 days if parent is part-time employed or going to school part-time. (Note: this period of unemployment should be included in the Lead Agency's definition of working, or job training/educational program at 2.3.3).
- ☐ Other. Describe: ____
- ☐ Other. Describe: ____
- ☐ None

2.2.6. Describe the Lead Agencies policies to promote continuity of care for children and stability for families. Check the strategies, if any, that your State/Territory has chosen to implement.

- ☒ Provide CCDF assistance during periods of job search. Length of time Family is eligible for services while "seeking employment" for 60 working days during the contract period. Preschool-age children can continue in half-day State Preschool programs if family meets an eligibility requirement.
- ☐ Establish two-tiered income eligibility to allow families to continue to receive child care subsidies if they experience an increase in income but still remain below 85% of State median income (SMI).
- ☐ Synchronize review date across programs. List programs: _____
- ☐ Longer eligibility re-determination periods (e.g., 1 year). Describe ____
- ☐ Extend periods of eligibility for families who are also enrolled in either Early Head Start or Head Start and pre-k programs. Describe ____
- ☐ Extend periods of eligibility for school-age children under age 13 to cover the school year. Describe ____
- ☐ Minimize reporting requirements for changes in family's circumstances that do not impact families' eligibility criteria, such as changes in income below a certain threshold or change in employment
- ☐ Targeted case management to help families find and keep stable child care arrangements. Describe ____.
- ☒ Using non-CCDF Funds to continue subsidy for families who no longer meet eligibility, such as for children who turn 13 years of age during the middle of a program year
- ☒ Other. Describe California uses "service leave" to suspend authorization or payment rather than terminating eligibility to cover temporary changes of family circumstances. Also, if a family is no longer eligible for one program (for example, Migrant) because the parents have a stationary job, California Education Code 8263(c) includes a continuity of care provision which authorizes contractors to transfer families to another program for which they are eligible.

☐ None

2.2.7. How will the Lead Agency reach out and provide services to eligible families with limited English proficiency? Check the strategies, if any, that your State/Territory has chosen to implement.

- ☒ Application in other languages
- ☒ Informational materials in non-English languages
- ☐ Training and technical assistance in non-English languages
- ☐ Website in non-English languages
- ☐ Lead Agency accepts applications at local community-based locations
- ☒ Bilingual caseworkers or translators available
- ☒ Other: The Resource and Referral agencies are required to make every effort to reach all parents within their defined geographic area, including, but not limited to toll-free telephone lines, office space convenient to parents, and referrals with staff proficient in the languages which are spoken in the community.
- ☐ None

If the Lead Agency checked any option above related to providing information or services other than non-English languages, please list the languages offered

Vietnamese, Cantonese, Pilipino, Khmer, Korean, Armenian, Mandarin, Lao, Russian, Punjabi, Arabic, Farsi and Spanish

2.2.8. How will the Lead Agency overcome language barriers with providers? Check the strategies, if any, that your State/Territory has chosen to implement.

- ☒ Informational materials in non-English languages
- ☒ Training and technical assistance in non-English languages
- ☒ CCDF health and safety requirements in non-English languages
- ☒ Provider contracts or agreements in non-English languages
- ☐ Website in non-English languages
- ☒ Bilingual caseworkers or translators available
- ☒ Collect information to evaluate on-going need, recruit, or train in a culturally or linguistically diverse workforce
- ☒ Other: Resource and Referrals, Alternative Payment Providers, direct service contractors, and professional development trainers provide information and documents in multiple languages to meet the needs of their service population.
- ☐ None

If the Lead Agency checked any option above related to providing information or services other than non-English languages, please list the languages offered

Vietnamese, Hmong, Cantonese, Pilipino, Khmer, Korean, Armenian, Mandarin, Lao, Russian, Punjabi, Arabic, Farsi and Spanish

2.2.9. Describe how the Lead Agency documents and verifies applicant information using the table below. (§98.20(a)) Check the strategies that will be implemented by your State/Territory. **Attach** a copy of your parent application for the child care subsidy program(s) as **Attachment 2.2.9** or provide a web address, if available. <http://www.cde.ca.gov/sp/cd/ci/cddforms.asp>

Reminder – Lead Agencies are reminded that, for purposes of implementing the citizenship verification requirements mandated by title IV of Personal Responsibility and Work Opportunity Reconciliation Act, **only the citizenship and immigration status of the child**, who is the primary beneficiary of the child care benefit, is relevant for eligibility purposes. (ACYF-PI-CC-98-08) States may not deny child care benefits to an eligible child because the parent(s), legal guardians, persons standing *in loco parentis*, or other household members have not provided information regarding their immigration status.

The Lead Agency requires documentation of:	Describe how the Lead Agency documents and verifies applicant information:
<input type="checkbox"/> Applicant identity	
<input checked="" type="checkbox"/> Household composition	A parent provides the names of the parents and the names, gender, and birthdates of the children identified in the family. The number of children is documented by providing at least one of the following documents, as applicable: birth certificates; court orders regarding child custody; adoption documents; records of foster care placements; school or medical records; CWD records; or other reliable documentation indicating the relationship of the child to the parent. Documents reviewed by agency and included in family data file.
<input checked="" type="checkbox"/> Applicant's relationship to the child	A parent provides the names of the parents and the names, gender, and birthdates of the children identified in the family. The number of children is documented by providing at least one of the following documents, as applicable: birth certificates; court orders regarding child custody; adoption documents; records of foster care placements; school or medical records; CWD records; or other reliable documentation indicating the relationship of the child to the parent. Documents reviewed by agency and included in family data file.
<input checked="" type="checkbox"/> Child's information for determining eligibility (e.g., identity, age, etc.)	Birth certificates/vital records, immunization records, health records. Documents reviewed by agency and included in family data file.
<input checked="" type="checkbox"/> Work, Job Training or Educational Program	Letters of employment, self-employment bookkeeping records, work schedules and pay stubs. Independent verification of employment. Agency can either call or send form for employer to complete. Class schedules or progress reports submitted for documentation of education. Documents reviewed by agency and included in family data file.
<input checked="" type="checkbox"/> Income	Pay stubs, child support enforcement records, profit and loss statements. Documents reviewed by agency and included in family data file.
<input type="checkbox"/> Other. Describe	

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2.2.10. Which strategies, if any, will the Lead Agency use to assure the timeliness of eligibility determinations upon receipt of applications?

- ☒ Time limit for making eligibility determinations. Describe length of time 1 month
- ☐ Track and monitor the eligibility determination process
- ☐ Other. Describe ____
- ☐ None

2.2.11. Are the policies, strategies or processes provided in questions 2.1.1. through 2.1.10 different for families receiving TANF? (658E(c)(2)(H) & (3)(D), §§98.16(g)(4), 98.33(b), 98.50(e))

- ☒ Yes. If yes, describe: CalWORKs recipients are categorically eligible.
- ☐ No.

2.2.12. Informing parents who receive TANF benefits about the exception to the individual penalties associated with the TANF work requirement

The regulations at §98.33(b) require the Lead Agency to inform parents who receive TANF benefits about the exception to the individual penalties associated with the work requirement for any single custodial parent who has a demonstrated inability to obtain needed child care for a child under 6 years of age. Lead Agencies must coordinate with TANF programs to ensure, pursuant that TANF families with young children will be informed of their right not to be sanctioned if they meet the criteria set forth by the State TANF agency in accordance with section 407(e)(2) of the Social Security Act.

In fulfilling this requirement, the following criteria or definitions are applied by the TANF agency to determine whether the parent has a demonstrated inability to obtain needed child care. **NOTE:** The TANF agency, not the CCDF Lead Agency, is responsible for establishing the following criteria or definitions. These criteria or definitions are offered in this Plan as a matter of public record.

- a) Identify the TANF agency that established these criteria or definitions:
State/Territory TANF Agency California Department of Social Services.
- b) Provide the following definitions established by the TANF agency.
- "appropriate child care": Appropriate child care is defined as child care chosen by the parent that meets the needs of the child and parents and is either licensed for the appropriate age group or special needs category, or is license-exempt and the parents and providers have completed the Health and Safety Self-Certification form and the provider meets TrustLine requirements unless the child care arrangement is exempt from the TrustLine requirements.

- "reasonable distance": Reasonable distance is defined as the distance customarily traveled by working families in accessing child care in the community.
- "unsuitability of informal child care": Informal child care is unsuitable when the caregiver cannot be TrustLined in accordance with the TrustLine regulations or would otherwise be denied payment for child care services that are exempt from licensure because of a violent felony conviction.
- "affordable child care arrangements": Affordable child care is child care where the cost to the family does not exceed the regional market rate plus family fees established by the state in accordance with the family fee schedule.

c) How are parents who receive TANF benefits informed about the exception to individual penalties associated with the TANF work requirements?

- ☒ In writing
☐ Verbally
☐ Other: ____

2.3. Eligibility Criteria for Child Care

In order to be eligible for services, children must (1) be under the age of 13, or under the age of 19 if the child is physically or mentally disabled or under court supervision; (2) reside with a family whose income is less than 85 percent of the State's median income for a family of the same size; and (3) reside with a parent or parents who is working or attending job training or an educational program; or (4) be receiving or needs to receive protective services. (658P(3), §98.20(a))

2.3.1. How does the Lead Agency define the following eligibility terms?

- *residing with* - Living in the same household.
- *in loco parentis* – Any person living with a child who has responsibility for the care and welfare of the child.

2.3.2. Eligibility Criteria Based Upon Age

a) The Lead Agency serves children from 0 weeks to 13 years (may not equal or exceed age 13).

b) Does the Lead Agency allow CCDF-funded child care for children age 13 and above but below age 19 years who are physically and/or mentally incapable of self-care? (658E(c)(3)(B), 658P(3), §98.20(a)(1)(ii))

- ☒ Yes, and the upper age is 19. (May not equal or exceed age 19)
 Provide the Lead Agency definition of *physical or mental incapacity* –
 The child who is physically or mentally incapable of self-care is a child who has exceptional needs as defined in California Education Code § 8208 (I) and needs adult supervision in a child care setting.
- ☐ No.

c) Does the Lead Agency allow CCDF-funded child care for children age 13 and above but below age 19 years who are under court supervision? (658P(3), 658E(c)(3)(B), §98.20(a)(1)(ii))

- ☐ Yes, and the upper age is _____(May not equal or exceed age 19)
☒ No.

2.3.3. Eligibility Criteria Based Upon Work, Job Training or Educational Program

a) How does the Lead Agency define “working” for the purposes of eligibility? Provide a narrative description below, including allowable activities and if a minimum number of hours is required.

Reminder – Lead Agencies have the flexibility to include any work-related activities in its definition of working, including periods of job search and travel time. (§§98.16(f)(3), 98.20(b))

- *working* – Work is defined as employment, self-employment, seeking employment or vocational education leading directly to a recognized trade, paraprofession, or profession. Travel time is included in the approved schedule of services.

b) Does the Lead Agency provide CCDF child care assistance to parents who are attending job training or an educational program? (§§98.16(g)(5), 98.20(b))

- ☒ Yes. If yes, how does the Lead Agency define “attending job training or educational program” for the purposes of eligibility? Provide a narrative description below.

Reminder – Lead Agencies have the flexibility to include any training or education-related activities in its definition of job training or education, including study time and travel time.

- *attending job training or educational program* – Enrollment in a vocational education program is defined as enrollment in a vocational education program defined by an educational institution for a maximum of six years or 24 units after achievement of a Bachelor’s Degree. Enrollment, attendance, and satisfactory progress are defined in regulations and monitored by local agencies every quarter, semester or other training period defined by the institution. Vocational education must lead directly to a recognized trade, paraprofession, or profession.

☐ No.

2.3.4. Eligibility Criteria Based Upon Receiving or Needing to Receive Protective Services

a) Does the Lead Agency provide child care to children in protective services? (§§98.16(f)(7), 98.20(a)(3)(ii)(A) & (B))

☒ Yes. If yes, how does the Lead Agency define “protective services” for the purposes of eligibility? Provide a narrative description below.

Reminder – Lead Agencies have the flexibility to define protective services beyond formal child welfare or foster care cases. Lead Agencies may elect to include homeless children and other vulnerable populations in the definition of protective services.

Note – If the Lead Agency elects to provide CCDF-funded child care to children in foster care whose foster care parents are **not** working, or who are **not** in education/training activities for CCDF purposes these children are considered to be in **protective services** and should be included in this definition.

- *protective services* – The child is receiving child protective services as defined by the local county department of child welfare services. This may also include “children at risk of abuse, neglect, or exploitation” defined in California Education Code 8208(k) as children who are so identified in a written referral from a medical, or social service agency, or emergency shelter.”

☐ No.

b) Does the Lead Agency waive, on a case-by-case basis, the co-payment and income eligibility requirements for cases in which children receive, or need to receive, protective services? (658E(c)(3)(B), 658P(3)(C)(ii), §98.20(a)(3)(ii)(A))

☒ Yes.
☐ No.

2.3.5. Income Eligibility Criteria

a) How does the Lead Agency define “income” for the purposes of eligibility? Provide the Lead Agency’s definition of “income” for purposes of eligibility determination. (§§98.16(g)(5), 98.20(b))

- *income* – Income counted to determine eligibility includes all sources of income to the family with the exceptions noted below. According to California Education Code § 8263.1 a family is “income eligible” if a family’s adjusted monthly income is at or below 70 percent of the state median income (SMI), adjusted for family size, and updated annually. Per legislative directions, the 2007 SMI is currently used.

b) Which of the following sources of income, if any, will the Lead Agency exclude or deduct from calculations of total family income for the purposes of

eligibility determination? Check any income the Lead Agency chooses to exclude or deduct, if any.

- ☒ Adoption subsidies
- ☐ Foster care payments
- ☐ Alimony received or paid
- ☐ Child support received
- ☒ Child support paid
- ☒ Federal nutrition programs
- ☒ Federal tax credits
- ☐ State/Territory tax credits
- ☒ Housing allotments, Low-Income Energy Assistance Program (LIHEAP) or energy assistance
- ☐ Medical expenses or health insurance related expenses
- ☒ Military housing or other allotment/bonuses
- ☒ Scholarships, education loans, grants, income from work study
- ☐ Social Security Income
- ☒ Supplemental Security Income (SSI)
- ☐ Veteran's benefits
- ☒ Unemployment Insurance
- ☒ Temporary Assistance for Needy Families (TANF)
- ☐ Worker Compensation
- ☒ Other types of income not listed above 1) GI Bill entitlements, 2) Non-cash assistance or gifts; 3) Insurance or court settlements including pain and suffering and excluding lost wages and punitive damages; 4) Reimbursements for work-required expenses such as uniforms, mileage, or per diem expenses for food and lodging; 5) Business expenses for self-employed family members; 6) The portion of medical and/or dental insurance as paid by the employer having no cash value to the employee; and 7) Disaster relief grants or payments, except any portion for rental assistance or unemployment.
- ☐ None

c) Whose income will be excluded, if any, for purposes of eligibility determination? Check anyone the Lead Agency chooses to exclude, if any.

- ☒ Children under age 18
- ☒ Children age 18 and over – still attending school
- ☒ Teen parents living with parents
- ☒ Unrelated members of household
- ☐ All members of household except for parents/legal guardians
- ☐ Other
- ☐ None

d) Provide the CCDF income eligibility limits in the table below. **Complete** columns (a) and (b) based upon maximum eligibility initial entry into the CCDF program. Complete Columns (c) and (d) **ONLY IF** the Lead Agency is using income eligibility limits lower than 85% of the SMI.

Family Size	(a) 100% of State Median Income (SMI) (\$/month)	(b) 85% of State Median Income (SMI) (\$/month) [Multiply (a) by 0.85]	IF APPLICABLE	
			Income Level if lower than 85% SMI	
			(c) \$/month	(d) % of SMI [Divide (c) by (a), multiply by 100]
1	\$4,691	\$3,987	\$3,283	70%
2	\$4,691	\$3,987	\$3,283	70%
3	\$5,026	\$4,272	\$3,518	70%
4	\$5,584	\$4,746	\$3,908	70%
5	\$6,477	\$5,506	\$4,534	70%

Reminder - Income limits must be provided in terms of State Median Income (SMI) (or Territory Median Income) even if federal poverty level is used in implementing the program. (§98.20(a)(2)). **FY 2013 poverty guidelines** are available at www.hhs.gov.

e) Will the Lead Agency have “tiered eligibility” (i.e., a separate income limit at re-determination to remain eligible for the CCDF program)?

☐ Yes. If yes, **provide** the requested information from the table in 2.3.5d and **describe** _____.

Note: This information can be included in a separate table, or by placing a “/” between the entry and exit levels in the above table.

☒ No.

f) SMI Year **2007** and SMI Source **California Department of Finance**

g) These eligibility limits in column (c) became or will become effective on:
July 1, 2011

2.3.6. Eligibility Re-determination

a) Does the State/Territory follow OCC’s 12 month re-determination recommendation? (See [Program Instruction on Continuity of Care](#))

☒ Yes

☐ No. If no, what is the re-determination period in place for most families?

☐ 6 months

☐ 24 months

☐ Other. Describe

☐ Length of eligibility varies by county or other jurisdiction. Describe

b) Does the Lead Agency coordinate or align re-determination periods with other programs?

☐ Yes. If yes, check programs that the Lead Agency Aligns eligibility periods with and describe the redetermination period for each.

☐ Head Start and/or Early Head Start Programs. Re-determination period _____

☐ Pre-kindergarten programs. Re-determination period _____

☐ TANF. Re-determination period _____

☐ SNAP. Re-determination period _____

☐ Medicaid. Re-determination period _____

☒ Other. Describe All categories of families have a redetermination period of 12-months except for at risk, "a family who is receiving child care on the basis of being a child at risk of abuse, neglect, or exploitation" *Education Code 8263(b)(1)(B)* who have a redetermination period of 3-months.

☒ No.

c) Describe under what circumstances, if any, a family's eligibility would be reviewed prior to re-determination. For example, regularly scheduled interim assessments, or requirement for families to report changes.

Families are required to report changes that impact eligibility status, e.g. change in income. Local agencies verify reported changes.

d) Describe any action(s) the State/Territory would take in response to any review prior to re-determination. The verification function of reported changes is a local agency responsibility.

e) Describe how these policies are implemented in a family-friendly manner that promotes access and continuity of care for children. Families generally report changes to adjust days and hours of service to conform to changes in employment or employment schedule. Lead agency instructs local agencies to verify and adjust families' schedule as quickly as possible in response to family need. Families enrolled in part-day preschool continue eligibility and services similar to Head Start.

f) Does the Lead Agency use a simplified process at re-determination?

☒ Yes. If yes, describe Documents, such as birth certificates or other evidence of family composition, do not have to be resubmitted once they are in the file. Income and work activity are updated at re-determination once a year. Information in the welfare file, if one exists, can be transferred to a CCDF file.

☐ No

2.3.7. Waiting Lists

Describe the Lead Agency's waiting list status. Select **ONE** of these options.

- ☐ Lead Agency currently does not have a waiting list and:
 - ☐ All eligible families *who apply* will be served under State/Territory eligibility rules
 - ☐ Not all eligible families *who apply* will be served under State/Territory eligibility rules
- ☐ Lead Agency has an active waiting list for:
 - ☐ Any eligible family who applies when they cannot be served at the time of application
 - ☐ Only certain eligible families. Describe those families
- ☐ Waiting lists are a county/local decision. Describe
- ☒ Other. Describe *Contractors are required to adhere to California Code of Regulations, Title 5 (5 CCR), Section 18106(e): "Contractors shall maintain a current waiting list in accordance with admission priorities. Contractors may satisfy the requirement for maintaining a waiting list by participating in a county child care centralized eligibility list. Contractors shall contact applicants in order of priority from the waiting list as vacancies occur."*

2.3.8. Appeal Process for Eligibility Determinations

Describe the process for families to appeal eligibility determinations

Parents are provided a Notice of Action to inform them of approval or denial of their application for eligibility determination. The notice provides appeal information regarding appeal rights, appeal timeframes, the local hearing process, and the CDD review process.

2.4. Sliding Fee Scale and Family Contribution

The statute and regulations require Lead Agencies to establish a sliding fee scale that varies based on **income and the size of the family** to be used in determining each family's contribution (i.e., co-payment) to the cost of child care (658E(c)(3)(B) §98.42).

2.4.1. Attach a copy of the sliding fee scale as Attachment 2.4.1. Will the attached sliding fee scale provided as Attachment 2.4.1. be used in **all** parts of the State/Territory?

- ☒ Yes. *Effective Date: July 1, 2011*
<http://www.cde.ca.gov/sp/cd/ci/documents/famfeeschedule1112v002.pdf>
- ☐ No. If no, attach other sliding fee scales and their effective date(s) as **Attachment 2.4.2a, 2.4.2b**, etc.

2.4.2. What income source and year will be used in creating the sliding fee scale? (658E(c)(3)(B)) Check only one option.

- ☒ State Median Income, Year: *2007*

- ☐ Federal Poverty Level, Year: _____
- ☐ Income source and year varies by geographic region. Describe income source and year: _____
- ☐ Other. Describe income source and year: _____

2.4.3. How will the family's contribution be calculated and to whom will it be applied? Check all that the Lead Agency has chosen to use. (§98.42(b))

- ☒ Fee as dollar amount and
- ☐ Fee is per child with the same fee for each child
 - ☐ Fee is per child and discounted fee for two or more children
 - ☐ Fee is per child up to a maximum per family
 - ☐ No additional fee charged after certain number of children
 - ☒ Fee per family
- ☐ Fee as percent of income and
- ☐ Fee is per child with the same percentage applied for each child
 - ☐ Fee is per child and discounted percentage applied for two or more children
 - ☐ No additional percentage applied charged after certain number of children
 - ☐ Fee per family
- ☐ Contribution schedule varies by geographic area. Describe: _____
- ☐ Other. Describe _____

If the Lead Agency checked more than one of the options above, describe _____

2.4.4. Will the Lead Agency use other factors in addition to income and family size to determine each family's contribution to the cost of child care? (658E(c)(3)(B), §98.42(b))

- ☒ Yes, and describe those additional factors: [part time or full time care](#)
- ☐ No.

2.4.5. The Lead Agency may waive contributions from families whose incomes are at or below the poverty level for a family of the same size. (§98.42(c)). Select **ONE** of these options.

Reminder – Lead Agencies are reminded that the co-payments may be waived for only two circumstances - for families at or below the poverty level or on a case-by-case basis for children falling under the definition of “protective services” (as defined in 2.3.4.a).

- ☐ ALL families, including those with incomes at or below the poverty level for families of the same size, ARE required to pay a fee.
- ☒ NO families with income at or below the poverty level for a family of the same size ARE required to pay a fee. The poverty level used by the Lead Agency for a family of 3 is: [\\$N/A](#)

- ☐ SOME families with income **at or below the poverty level** for a family of the same size ARE NOT required to pay a fee. The Lead Agency waives the fee for the following families: _____

2.5. Prioritizing Services for Eligible Children and Families

At a minimum, CCDF requires Lead Agencies to give priority for child care assistance to children with special needs, or in families with very low incomes. Prioritization of CCDF assistance services is not limited to eligibility determination (i.e., establishment of a waiting list or ranking of eligible families in priority order to be served). Lead Agencies may fulfill priority requirements in other ways such as higher payment rates for providers caring for children with special needs or waiving co-payments for families with very low incomes (at or below the federal poverty level). (658E(c)(3)(B), §98.44)

2.5.1. How will the Lead Agency prioritize child care services to children with special needs or in families with very low incomes? (658E(c)(3)(B), §98.44) Lead Agencies have the discretion to define *children with special needs* and *children in families with very low incomes*. Lead Agencies are not limited in defining *children with special needs* to only those children with physical or mental disabilities (e.g., with a formal Individual Education Plan (IEP) required under the Individuals with Disabilities Education Act (IDEA)). Lead Agencies could consider children in the child welfare system, children of teen parents, or homeless children as examples of *children with special needs*.

How will the Lead Agency prioritize CCDF services for:	Eligibility Priority (Check only one)	Is there a time limit on the eligibility priority or guarantee?	Other Priority Rules
Children with special needs Provide the Lead Agency definition of <i>Children with Special Needs</i> California has two definitions that apply: <ul style="list-style-type: none"> A child who has exceptional needs as defined in California Education Code 8208(l) with an IFSP or IEP. Is receiving child protective services or is at risk of 	<input checked="" type="checkbox"/> Priority over other CCDF-eligible families <input type="checkbox"/> Same priority as other CCDF-eligible families <input type="checkbox"/> Guaranteed subsidy eligibility <input type="checkbox"/> Other. Describe _____	<input type="checkbox"/> Yes. The time limit is: _____ <input checked="" type="checkbox"/> No	<input checked="" type="checkbox"/> Different eligibility thresholds. Describe Families with the lowest per capita income have priority. Within this group, if there are two or more families with comparable per capita income, the family with a child with exceptional needs will be served first. <input checked="" type="checkbox"/> Higher rates for providers caring for children with special needs requiring additional care <input type="checkbox"/> Prioritizes quality funds for providers serving these children <input type="checkbox"/> Other. Describe .

How will the Lead Agency prioritize CCDF services for:	Eligibility Priority (Check only one)	Is there a time limit on the eligibility priority or guarantee?	Other Priority Rules
<p>abuse, neglect, or exploitation as defined in Section 2.3.4(a).</p> <p>Children determined to be at risk receive first priority for services.</p>			
<p>Children in families with very low incomes</p> <p>Provide the Lead Agency definition of Children in Families with Very Low Incomes Family income that is adjusted for family size and is at or below 40 percent of the state median income.</p>	<p><input checked="" type="checkbox"/> Priority over other CCDF-eligible families</p> <p><input type="checkbox"/> Same priority as other CCDF-eligible families</p> <p><input type="checkbox"/> Guaranteed subsidy eligibility</p> <p><input type="checkbox"/> Other. Describe _____</p>	<p><input type="checkbox"/> Yes. The time limit is: _____</p> <p><input checked="" type="checkbox"/> No</p>	<p><input checked="" type="checkbox"/> Different eligibility thresholds. Describe Families with the lowest per capita income. Within this group, if there are two or more families with comparable per capita income, the family with a child with exceptional needs will be served first. Within this group, if there are two or more families with comparable per capita income and there is no family with a child with exceptional needs, the family that has been on the waiting list the longest will be enrolled first.</p> <p><input checked="" type="checkbox"/> Waiving co-payments for families with incomes at or below the Federal Poverty Level</p> <p><input type="checkbox"/> Other. Describe _____</p>

2.5.2. How will CCDF funds be used to provide child care assistance to meet the needs of families receiving Temporary Assistance for Needy Families (TANF), those attempting to transition off TANF through work activities, and those at risk of becoming dependent on TANF?

(658E(c)(2)(H), Section 418(b)(2) of the Social Security Act, §§98.50(e), 98.16(g)(4))

Reminder - CCDF requires that not less than 70 percent of CCDF Mandatory and Matching funds be used to provide child care assistance for families receiving Temporary Assistance for Needy Families (TANF), those attempting to transition off TANF through work activities, and those at risk of becoming dependent on TANF.

- ☐ Use priority rules to meet the needs of TANF families (describe in 2.5.1 or 2.5.3.)
- ☒ Waive fees (co-payments) for some or all TANF families who are below poverty level
- ☒ Coordinate with other entities (i.e. TANF office, other State/Territory agencies, and contractors)

☒ Other: It is the intent that services continue to be provided for families transitioning off cash aid.

2.5.3. List and define any other eligibility conditions, priority rules and definitions that will be established by the Lead Agency. (658E(c)(3)(B), §98.16(g)(5), §98.20(b)) **Reminder** – Lead Agencies are reminded that any eligibility criteria and terms provided below must comply with the eligibility requirements of §98.20 and provided in section 2.2. Any priority rules provided must comply with the priority requirements of §98.44 and provided in section 2.4.1.

Term(s)	Definition(s)
N/A	

2.6. Parental Choice In Relation to Certificates, Grants or Contracts

The parent(s) of each eligible child who receives or is offered financial assistance for child care services has the option of either enrolling such child with a provider that has a grant or contract for the provision of service or receiving a child care certificate. (658E(c)(2)(A), §98.15(a))

2.6.1. Child Care Certificates

a) When is the child care certificate (also referred to as voucher or authorization) issued to parents? (658E(c)(2)(A)(iii), 658P(2), §98.2, §98.30(c)(4) & (e)(1) & (2))

- ☒ Before parent has selected a provider
- ☒ After parent has selected a provider
- ☐ Other. Describe

b) How does the Lead Agency inform parents that the child care certificate permits them to choose from a variety of child care categories, including child care centers, child care group homes, family child care homes, and in-home providers? (§98.30(e)(2))

- ☐ Certificate form provides information about choice of providers
- ☒ Certificate is not linked to a specific provider so parents can choose provider of choice
- ☒ Consumer education materials (flyers, forms, brochures)
- ☒ Referral to child care resource and referral agencies
- ☒ Verbal communication at the time of application
- ☐ Public Services Announcement
- ☒ Agency Website: Those agencies that maintain web sites often include this information.
- ☒ Community outreach meetings, workshops, other in person activities
- ☐ Multiple points of communication throughout the eligibility and renew process

- ☒ Other. Describe While the CDE does not provide this service, the contracted agencies do provide this service for their counties. The CDD field services consultants ensure agencies are providing this service as part of the monitoring and review process.

c) What information is included on the child care certificate? **Attach a copy of the child care certificate as Attachment 2.6.1.** (658E(c)(2)(A)(iii))

- ☐ Authorized provider(s)
☒ Authorized payment rate(s)
☒ Authorized hours
☒ Co-payment amount
☒ Authorization period
☒ Other. Describe Certificate/voucher developed by Alternative Payment Program Providers (APP). Most APPs provide the above information on certificates. A sample certificate is attached.

d) What is the estimated proportion of services that will be available for child care services through certificates? 43%

2.6.2. Child Care Services Available through Grants or Contracts

a) In addition to offering certificates, does the Lead Agency provide child care services through grants or contracts for child care slots? (658A(b)(1), 658P(4), §§98.16(g)(1), 98.30(a)(1) & (b)). **Note:** Do not check “yes” if every provider is simply required to sign an agreement in order to be paid in the certificate program.

- ☒ Yes. If yes, **describe** the type(s) of child care services available through grants or contracts, the process for accessing grants or contracts, and the range of providers that will be available through **grants or contracts**: Consistent with statutory requirement, each fiscal year the budget identifies the amount of funding available for distribution in each program (For a summary of Child Care and Development programs, see <http://www.cde.ca.gov/sp/cd/op/cdprograms.asp>). When there is new funding available, the CDE initiates the Request for Application (RFA) process and the availability of funding is announced. The RFA is posted on the Funding Web page at <http://www.cde.ca.gov/fq/fo/>. Local Child Care and Development Planning Councils provide allocation needs for each of the counties. Applications are scored based on the criteria in the RFA which can vary depending on the type of program and funding available. Funding is awarded based upon the number of applications received, the scoring of the applications, and available resources.

☐ No.

b) Will the Lead Agency use grants or contracts for child care services to achieve any of the following? Check the strategies, if any, that your State/Territory chooses to implement.

- ☒ Increase the supply of specific types of care
 - ☐ Programs to serve children with special needs
 - ☒ Wrap-around or integrated child care in Head Start, Early Head Start, pre-k, summer or other programs
 - ☒ Programs to serve infant/toddler
 - ☒ School-age programs
 - ☒ Center-based providers
 - ☒ Family child care providers
 - ☒ Group-home providers
 - ☐ Programs that serve specific geographic areas
 - ☐ Urban
 - ☐ Rural
 - ☐ Other. Describe ____
- ☐ Support programs in providing higher quality services
- ☐ Support programs in providing comprehensive services
- ☐ Serve underserved families. Specify:
- ☐ Other. Describe ____

c) Are child care services provided through grants or contracts offered throughout the State/Territory? (658E(a), §98.16(g)(3))

- ☒ Yes.
- ☐ No, and **identify** the localities (political subdivisions) and services that are not offered: ____

d) How are payment rates for child care services provided through grants/contracts determined? The CDE is required to disburse all the child development funds for direct services through a contracting process. There are no vouchers issued by the CDE.

The reimbursement structure is different for each delivery mode. Contracted centers are reimbursed at the Standard Reimbursement Rate (SRR). The SRR is adjusted for certain factors such as special needs or age of child (See <http://www.cde.ca.gov/sp/cd/op/factsheet07.asp> for adjustment factors and more details). Contractors are reimbursed based on child days of enrollment (defined as actual attendance and excused absences).

e) What is the estimated proportion of direct services that will be available for child care services through grants/contracts? 57%

2.6.3. How will the Lead Agency inform parents and providers of policies and procedures for affording parents unlimited access to their children whenever their children are in the care of a provider who receives CCDF

funds? (658E(c)(2)(B), §98.31)) Check the strategies that will be implemented by your State/Territory.

- ☐ Signed declaration
- ☐ Parent Application
- ☒ Parent Orientation
- ☐ Provider Agreement
- ☒ Provider Orientation
- ☒ Other. Describe: Licensing requirements require providers to inform parents that they have unlimited access to children in care. Written materials given to parents and providers at redetermination contain the same information CDE monitors to ensure that the requirement is met. The CDD field services consultants ensure agencies are providing this service as part of the monitoring and review process. The agencies include this information in both the parent and provider files.

2.6.4. The Lead Agency must allow for in-home care (i.e., care provided in the child's own home) but may limit its use. (§§98.16(g)(2), 98.30(e)(1)(iv)) Will the Lead Agency limit the use of in-home care in any way?

- ☐ No
- ☒ Yes. If checked, what limits will the Lead Agency set on the use of in-home care? Check all limits the Lead Agency will establish.
 - ☒ Restricted based on minimum number of children in the care of the provider to meet minimum wage law or Fair Labor Standards Act
 - ☒ Restricted based on provider meeting a minimum age requirement
 - ☐ Restricted based on hours of care (certain number of hours, non-traditional work hours)
 - ☐ Restricted to care by relatives
 - ☐ Restricted to care for children with special needs or medical condition
 - ☐ Restricted to in-home providers that meet some basic health and safety requirements
 - ☒ Other. Describe Any individual other than a grandparent, aunt, or uncle must be checked with the TrustLine registry.

2.6.5. Describe how the Lead Agency maintains a record of substantiated parental complaints about providers and makes substantiated parental complaints available to the public on request. (658E(c)(2)(C), §98.32)

Complaints against Licensed Centers and Licensed Family Child Care Homes:

- a. The provider is required to notify parents of the process for filing a complaint with the CDSS' CCLD. The CCLD is responsible for all complaints regarding licensing law or regulation requirements, pursuant to the California Health and Safety Code and the California Code of Regulations, Title 22. The CCLD investigates complaints and maintains a record of substantiated complaints that is available to the public upon request. The provider is required to inform parents of type A licensing violations which are violations that could result in imminent danger to children by posting the licensing violation on their wall during business hours for one year. R&R programs are required to inform parents when they make a referral that they have access to information from the provider's public file by contacting the local licensing regional

office. R&R programs are also required to remove from their referral database any provider who is on licensing probationary status, who has a revoked license and/or has a temporary suspension order.

- b. In programs operated by school districts, if a parent has a complaint regarding program operations not covered by licensing requirements, the parent must utilize the uniform complaint procedures established by the school district. Records of substantiated complaints are kept by the school district.
- c. In programs operated by entities other than school districts, parent may file complaints regarding program operations not covered by licensing requirements with the CDE, CDD. The parent must utilize the uniform complaint procedures established by the CDE, CDD. More information about this process can be found at <http://www.cde.ca.gov/re/cp/uc/>. Records of these parental complaints are maintained at the CDD.

Complaints against License-Exempt Providers:

Certificate programs are required to maintain a record of parental complaints concerning a license-exempt provider's failure to meet the health and safety standards as specified in the Health and Safety Self-Certification that is completed by the parent and the license-exempt provider. These complaints shall be deemed to be substantiated solely by the parent's written declaration. The written declaration shall include the nature of the complaint and address of the provider about whom the complaint is made and shall be signed by the parent. The certificate program shall inform the license-exempt provider of the parent's complaint and inform the provider of his or her right to submit a written rebuttal.

If a request is made concerning a specific license-exempt provider, the certificate program shall inform the requestor of the general nature of the complaint and whether or not the provider submitted a rebuttal.

Upon receipt of a complaint, the certificate program must notify the parent and the provider that payments will cease in 14 days unless a written declaration signed by both parties has been received by the certificate program stating that the health and safety deficiency has been corrected. The certificate program will also advise parents that serious health and safety concerns should be referred to the appropriate child protection unit of the CWD.

2.7. Payment Rates for Child Care Services

The statute at 658E(c)(4) and the regulations at §98.43(b)(1) require the Lead Agency to establish adequate payment rates for child care services that ensure eligible children equal access to comparable care.

2.7.1. Attach a copy of your payment rates as Attachment 2.7.1. Will the attached payment rates be used in **all** parts of the State/Territory?

☒ Yes. Effective Date: [October 1, 2006](#).
See <http://www.cde.ca.gov/sp/cd/op/factsheet07.asp>

☐ No. If no, attach other payment rates and their effective date(s) as **Attachment 2.7.2a, 2.7.2b**, etc.

2.7.2. Which strategies, if any, will the Lead Agency use to ensure the timeliness of payments?

- ☐ Policy on length of time for making payments. Describe length of time
- ☐ Track and monitor the payment process
- ☒ Other. Describe California Code of Regulations, Title 5, Section 18226 requires that contractors create and implement schedules for timely reimbursement to providers.
- ☐ None

2.7.3. Market Rate Survey

Lead Agencies must complete a local Market Rate Survey (MRS) no earlier than two years prior to the effective date of the Plan (no earlier than October 1, 2011). The MRS must be completed prior to the submission of the CCDF Plan (see Program Instruction CCDF-ACF-PI-2009-02 at <http://www.acf.hhs.gov/programs/ccb/law/guidance/current/pi2009-02/pi2009-02.htm> for more information on the MRS deadline).

- a) Provide the month and year when the local Market Rate Survey(s) was completed (§98.43(b)(2)): March 2013.
- b) Provide a **summary of the results** of the survey. The summary should include a description of the sample population, data source, the type of methodology used, response rate, description of analyses, and key findings.

The 2012 Market Rate Survey employed the methodology developed for and utilized in previous survey iterations. This methodology is characterized by a sampling and estimation methodology that is based first on statistical socio-economic modeling of California's ZIP codes into "market profiles". Next, Licensed Childcare Centers (LCCs) and Licensed Family Childcare Homes (LFCHs) are sampled based on the ZIP code of their physical location. Reimbursement ceilings are then calculated at the market profile level for care setting, age of the child, and time category (hourly, daily, weekly, monthly). County and sub-county estimates become the weighted averages of the market profiles within their jurisdictions. This approach is based on statistical practices for small area estimation and "borrowing strength"; it allows the estimation of reimbursement ceilings for small areas that may not have a sufficient number of responding providers.

The 2012 Market Rate Survey mirrored the 2005, 2007, and 2009 projects in a number of other aspects. First, the Market Rate Survey relied heavily on the Community Care Licensing database (CCL) as a source of provider information—resulting in the most inclusive listing of providers possible. Second, all sampled providers were given the opportunity to respond to a mail or a telephone survey. Third, the LCC and LFCH surveys were identical to those employed in the 2009 administration.

Fielding for the 2012 Market Rate Survey began in December of 2012 and continued into February 2013. Using the most conservative American Association for Public Opinion Research (AAPOR) methods for calculating survey outcomes, LCCs had a 39 percent response rate, 57 percent cooperation rate, and 20 percent refusal rate; LFCHs had a 28 percent response rate, 54 percent cooperation rate, and 11 percent refusal rate. These calculations are further explained in the *Methodology and Fielding* section of the full report.

Overall, 2012 Market Rate Survey indicates that the cost of childcare for parents (i.e. the rates charged by providers) has increased throughout the state. Since 2009, average costs increased by an average of three percent for infant care in LCCs and by 11 percent in LFCHs. For pre-schooler care, average costs increased by four percent for LCCs and 10 percent in LFCHs. For school-age childcare, the average cost increase was 13 percent in LCCs and three percent in LFCHs.

From 2005 to 2009 childcare costs for LCCs increased more than 10 percent across all three age groups. For infant and pre-school age groups, cost increases between 2009 and 2012 were much smaller (three and four percent increases, respectively); however, for school-age children the cost increase between 2009 and 2012 was 13 percent. In contrast, between 2009 and 2012, childcare costs for LFCHs increased 13 percent and nine percent for infants and pre-schoolers, respectively, but only increased six percent for school-age children.

2.7.4 Describe the payment rate ceilings in relation to the current MRS using the tables below.

Because of the flexibility that Lead Agencies have in setting payment rate ceilings, the following tables have been developed to simplify Lead Agency reporting on how their payment rate ceilings compare to their most recent MRS. These tables are not meant to collect comprehensive payment rate ceilings within a State/Territory and ACF recognizes that Lead Agencies are not required to set their payment rate ceilings at the 75th percentile. These tables allow Lead Agencies to use a common metric – the 75th percentile – as a reference point against which the Lead Agency can report their percentiles for three selected age groups in two geographic areas for licensed child care centers and licensed family child care homes.

In table 2.7.4a and 2.7.4b, *highest rate area* refers to the State or Territory's area or geographic region with the highest maximum payment rate ceiling for child care centers (2.7.4a) and *the lowest maximum payment rate ceiling for child care centers* (2.7.4b). Identify the highest rate area in the box provided. In column (a), provide the full-time monthly rate at the 75th percentile from the most recent MRS, even if the most recent MRS is not used to set rates. In column (b), provide the maximum monthly payment rate ceiling from your CCDF payment rate table. Complete column (c) ONLY IF the percentile for the monthly maximum payment rate ceiling is lower than the 75th percentile of the most recent MRS.

Note - Report the “base” maximum reimbursement rate ceiling, not including any rate add-ons or tiered reimbursements. For example, if maximum reimbursement rate ceilings are tiered based on level of quality (e.g., *accreditation or rating within a*

quality rating system such as gold, silver and bronze), report the rates for the lowest level in the tables below (e.g., bronze).

If your State/Territory has hourly, daily or weekly maximum payment rate ceiling, use the following assumptions to calculate monthly maximum payment rate ceiling for column (b) – 9 hours a day, 5 days per week, 4.33 weeks per month.

OCC recognizes that States and Territories use a wide variety of age ranges and categories in setting payment rate ceilings. In these charts, report rates for the following ages only – 11 months, 59 months, and 84 months of age – regardless of what that age category may be called in your State/Territory.

2.7.4a – Highest Rate Area (Centers)	(a) Monthly Payment Rate at the 75th percentile from the most recent MRS	(b) Monthly Maximum Payment Rate Ceiling	(c) Percentile if lower than 75th percentile of most recent survey
Full-Time Licensed Center Infants (11 months)	\$1487.80 various counties	\$1679.45 various counties	
Full-Time Licensed Center Preschool (59 months)	\$986.13 various counties	\$1256.70 San Mateo County	
Full-Time Licensed Center School-Age (84 months)	\$688.97 various counties	\$1105.46 various counties	

2.7.4b – Lowest Rate Area (Centers)	(a) Monthly Payment Rate at the 75th percentile of the most recent MRS	(b) Monthly Maximum Payment Rate Ceiling	(c) Percentile if lower than 75th percentile of most recent survey
Full-Time Licensed Center Infants (11 months)	\$608.36 Tehama County	\$714.80 various counties	
Full-Time Licensed Center Preschool (59 months)	\$358.64 various counties	\$408.93 various counties	
Full-Time Licensed Center School-Age (84 months)	\$290.82 various counties	\$323.84 various counties	

In table 2.7.4c and 2.7.4d, *lowest rate area* refers to the State or Territory's area or geographic region with the lowest maximum payment rate ceiling **for family child care homes (2.7.4c) and the lowest maximum payment rate ceiling for family child care homes (2.7.4a)**. Identify the lowest rate area in the box provided. In column (a), provide the full-time monthly rate at the 75th percentile from the most recent MRS, even if the most recent MRS is not used to set rates. In column (b), provide the maximum monthly payment rate ceiling from your CCDF payment rate table. Complete column (c) **ONLY IF** the percentile for the monthly maximum payment rate ceiling is lower than the 75th percentile of the most recent MRS.

Note - Report the "base" maximum reimbursement rate ceilings, not including any rate add-ons or tiered reimbursement. For example, if maximum reimbursement rate ceilings are tiered based on level of quality (e.g., **accreditation or rating within a quality rating system such as** gold, silver and bronze), report the rates for the lowest level in the tables below (e.g., bronze).

If your State/Territory has hourly, daily or weekly maximum payment rate ceiling, use the following assumptions to calculate monthly maximum payment rate ceiling for column (b) – 9 hours a day, 5 days per week, 4.33 weeks per month.

OCC recognizes that States and Territories use a wide variety of age ranges and categories in setting payment rate ceilings. In these charts, report rates for the following ages only – 11 months, 59 months, and 84 months of age – regardless of what that age category may be called in your State/Territory.

2.7.4c – Highest Rate Area (FCC)	(a) Monthly Payment Rate at the 75th percentile of the most recent MRS	(b) Monthly Maximum Payment Rate Ceiling	(c) Percentile if lower than 75th percentile of most recent survey
Full-Time Licensed FCC Infants (11 months)	\$998.74 various counties	\$1069.24 various counties	
Full-Time Licensed FCC Preschool (59 months)	\$914.71 various counties	\$1043.42 various counties	
Full-Time Licensed FCC School-Age (84 months)	\$630.41 various counties	\$712.99 various counties	

2.7.4d – Lowest Rate Area (FCC)	(a) Monthly Payment Rate at the 75th percentile of the	(b) Monthly Maximum Payment Rate Ceiling	(c) Percentile if lower than 75th percentile of most recent

	most recent MRS		survey
Full-Time Licensed FCC Infants (11 months)	\$457.49 various counties	\$553.24 various counties	
Full-Time Licensed FCC Preschool (59 months)	\$386.92 various counties	\$439.74 various counties	
Full-Time Licensed FCC School-Age (84 months)	\$383.99 Imperial County	\$442.70 various counties	

2.7.5. How are payment rate ceilings for license-exempt providers set?

The Regional Market Rate (RMR) measures the prices charged by providers and paid by parents within a given child care market region. California uses these rates to establish maximum child care reimbursement rates within each category for child care services to families in various State and federal subsidized child care programs administered by county welfare departments and other alternative payment or voucher programs including license-exempt centers, license-exempt family child care homes, license-exempt group family child care homes and in-home care. Every two years, California conducts a RMR survey, which must be conducted with special consideration for the complexities and variations within the child care system throughout and inclusive of all 58 counties. Assembly Bill 1808, Statute of 2006, Chapter 75, required that the Market Rate ceilings be based on a county aggregate of the survey data; according to type of child care, age of the child, and time base. Assembly Bill 1497, Statute of 2012, Chapter 29, maintains the RMR ceilings at the 85th percentile of the 2005 Regional Market Rate Survey and the licensed-exempted child care providers' ceilings at 60 percent of the Family Child Care Home ceilings effective July 1, 2012.

- Describe how license-exempt center payment rates are set:
State legislation, Assembly Bill 1497, Statute of 2012, Chapter 29
- Describe how license-exempt family child care home payment rates are set: N/A
- Describe how license-exempt group family child care home payment rates are set: N/A
- Describe how in-home care payment rates are set:
State legislation, Assembly Bill 1497, Statute of 2012, Chapter 29

2.7.6. Will the Lead Agency provide any type of tiered reimbursement or differential rates on top of its base reimbursement rates for providing care for children receiving CCDF subsidies? Check which types of tiered reimbursement, if any, the Lead Agency has chosen to implement. In the description of any tiered rates or add-ons, indicate the process and basis used for determining the tiered rates and amount and also indicate if the rates were set based on the MRS or another process.

☒ **Differential rate for nontraditional hours. Describe** When a licensed provider operates from 6:00 p.m. to 6:00 a.m. on any day of the week or from 6:00 a.m. Saturday to 6:00 a.m. Monday, the contractor shall multiply the RMR ceiling by 1.125 or 1.25 based on the percentage of certified need for child care that occurs during that time period, as described in California Code of Regulations, Title 5, Section 18075.1.

☒ **Differential rate for children with special needs as defined by the State/Territory. Describe** The SRR is \$34.38 per child day of enrollment with the following adjustment factor applied. *EC* Section 8265.6 (4) - For children with exceptional needs who are 0 to 21 years of age, the adjustment factor is 1.2, as described in California Code of Regulations, Title 5, Section 18075.2.

☒ **Differential rate for infants and toddlers. Describe** The SRR is \$34.38 per child day of enrollment with the following adjustment factors applied. *EC* Section 8265.6 (1) - For infants who are 0 to 18 months of age and are served in a child day care center, the adjustment factor is 1.7. *EC* Section 8265.6 (2) - For toddlers who are 18 to 36 months of age and are served in a child day care center, the adjustment factor is 1.4. *EC* Section 8265.6 (3) - For infants and toddlers who are 0 to 36 months of age and are served in a family child care home, the adjustment factor is 1.2. There is no differential rate for voucher providers.

☐ **Differential rate for school-age programs. Describe** _____

☐ **Differential rate for higher quality as defined by the State/Territory. Describe**

☒ **Other differential rate. Describe**

The SRR is \$34.38 per child day of enrollment with the following adjustment factors applied. *EC* Section 8265.6 (5) - For severely disabled children who are 0 to 21 years of age, the adjustment factor is 1.5. *EC* Section 8265.6 (6) - For children at risk of neglect, abuse, or exploitation who are 0 to 14 years of age, the adjustment factor is 1.1. *EC* Section 8265.6 (7) - For limited-English-speaking and non-English-speaking children who are 2 years of age through kindergarten age, the adjustment factor is 1.1. There is no differential rate for voucher providers.

Every other year, the state conducts a Regional Market Rate Survey. The purpose of this Survey is to calculate the market rates for child care in each of California's 58 counties. The State uses these rates to establish maximum child care reimbursement rates for child care services to families in CalWORKs State 2 and Stage 3, Alternative Payment Programs, and Family Child Care Home Education Networks.

☐ None.

Reminder - CCDF regulations require the Lead Agency to certify that the payment rates for the provision of child care services are sufficient to ensure equal access for eligible families to child care services comparable to those provided to families not eligible to receive CCDF assistance. In the next three questions, Lead Agencies are asked to describe how their payment policies reflect the affordable copayments for families' provision of equal access (i.e., minimizing additional fees to parents), how payment practices are implemented consistent with the general child care market to be fair to providers (see **Information Memorandum on Continuity of Care** for

examples), and the summary of facts describing how payment rates are adequate to ensure equal access to the full range of providers.

2.7.7. What policies does the Lead Agency have regarding any additional fees that providers may charge CCDF parents? The Lead Agency...

- ☒ Allows providers to charge the difference between the maximum reimbursement rate and their private pay rate
- ☒ Pays for provider fees (e.g., registration, meals, and supplies). Describe
- ☒ Policies vary across region, counties and or geographic areas. Describe
Contractors may adopt their own local policy governing unexcused absences, as described in the California Code of Regulations, Title 5, Section 18066.
- ☒ Other. Describe Center-based, Title 5 programs may not charge fees (although they are allowed to charge up to \$25/year for diapers and field trips). The Lead Agency does not set the rates or the fees that alternative payment providers charge their families, but rather reimburses their services at a certain rate.

2.7.8. What specific policies and practices does the Lead Agency have regarding the following:

- a) Number of absent days allowed. Describe
There is no limitation of absences. State regulations (5CCR 18066) require contractors to set their own policies for excused absences, including best interest days; and unexcused absences.
- b) Paying based on enrollment. Describe
Direct services programs are paid based on a formula that includes adjusted days of enrollment. Adjusted days of enrollment include excused absences and “best interest” days, limited to ten days in any contract period (5CCR 18054).
- c) Paying on the same schedule that providers charge private pay families (e.g., hourly, weekly, monthly). Describe
Alternative Payment providers are reimbursed based on what they charge private pay families up to the Regional Market Rate ceiling for the county in which they provide services (5CCR 18075, 18076.2).
- d) Using electronic tools (automated billing, direct deposit, EBT cards, etc.) to make provider payments. Describe
The Child Development Division approves the use of electronic tools on a case-by-case basis.

2.7.9. Describe how payment rates are adequate to ensure equal access to the full range of providers based on the Market Rate Survey.

CCDF regulations require the Lead Agency to certify that the payment rates for the provision of child care services are sufficient to ensure equal access for eligible families to child care services comparable to those provided to families not eligible to receive CCDF assistance. To demonstrate equal access, the Lead Agency shall provide at a minimum a summary of facts describing: (§98.43(a))

- a) How a choice of the full range of providers, e.g., child care centers, family child care homes, group child care homes and in-home care, is made available (§98.43(a)(1)) The state has several ways to ensure parents are informed about the full array of child care options. When a parent calls an R&R agency seeking

information about child care choices, he/she is counseled about how to select the most appropriate care to meet the family's needs. At that time, he/she is given a list of several child care providers of the types and in the locations (whether near home, work, or place of training) in which he/she has indicated an interest. The APPs also offer and explain the full array of child care setting options to parents who are eligible for child care subsidy and assist them with finding the appropriate care to meet their needs.

b) How payment rates are adequate based on the most recent local MRS (§98.43(a)(2)) Regional Market Rate ceilings are differentiated for centers, family day care homes and license-exempt. Rates are broken out by different delivery systems so services are available for all types of need. The 2009 RMR survey of licensed centers and family child care homes based measurements of child care rates on similar socioeconomic conditions, rather than geographic proximity, creating "price profiles" of similar zip codes. The ceilings are established for each county according to estimates of the 85th percentile of child care rates for groups of centers and family child care homes. These county market rate ceilings are differentiated by the age of the child (under two years of age, two through five years of age, and six years of age or more), full-time and part-time, and frequency of care (hourly, daily, weekly, and monthly). This methodology allows parents to have access to 85 percent of all licensed providers in their county. (§98.43(b))

The current payment rates are based on the 2005 RMR survey. It was important to the CDE, the legislature, and advocacy groups for the ceilings to remain at the 85th percentile to ensure that more families have continued access to quality child care programs. Rather than change the percentile to the 75th in order to use the current survey, it was necessary to instead base the ceilings on the 2005 survey for cost neutrality.

c) How family co-payments based on a sliding fee scale are affordable (§98.43(a)(3)) The copayments are considered affordable as they fall at or below ten percent of a family's earned income for all levels of child care services.

d) Any additional facts the Lead Agency considered to determine that its payment rates ensure equal access, including how the quality of child care providers is taken into account when setting rates and whether any other methodologies (e.g., cost estimation models) are used in setting payment rates

California does not have different payment rates for levels of quality.

2.8. Goals for the next Biennium

In this section, Lead Agency are asked to identify at least one goal for the upcoming biennium and are encouraged to identify no more than five priority goals total. ACF will target technical assistance efforts to help Lead Agencies achieve their goal(s). Lead Agencies may include existing goals (e.g., already identified in a State Strategic plan or established by the Governor for a Lead Agency). Lead Agencies will report progress and updates on these goals in the annual Quality Performance Report (Appendix 1), including any barriers encountered.

What are the Lead Agency’s goals for the administration of the CCDF subsidy program in the coming Biennium? For example, what progress does the State/Territory expect to make on continuing improved services to parents and providers, continuity of care for children, improving outreach to parents and providers, building or expanding information technology systems, or revising rate setting policies or practices).

Note – When identifying your goals below, Lead Agencies are encouraged to begin with an action verb reflecting the desired result over the two year period (e.g., Increase, Improve, Build, Align, Implement, Review, Revise, Streamline, Expand, etc.)

Goal 1 - Inform parents receiving vouchers for subsidized programs of their quality options.
Goal 2 - Streamline Title 5 contracting requirements.
Goal 3 - Convene a group of stakeholders to provide input in developing a family fee schedule designed to reduce the administrative burden and simplify the process by which family fees are assessed and collected.
Goal 4 -
Goal 5 -

Part 3

HEALTH AND SAFETY AND QUALITY IMPROVEMENT ACTIVITIES

In this section, Lead Agencies are asked to describe their goals and plans for implementation of child care quality improvement activities. Under the Child Care and Development Block Grant Act, Lead Agencies have significant responsibility for ensuring the health and safety of children in child care through the State/Territory's child care licensing system and establishing health and safety standards for children who receive CCDF funds. Health and safety is the foundation of quality, but is not adequate to ensure that programs and staff are competent in supporting all areas of child development and promoting school success.

Quality investments and support systems to promote continuous quality improvement of both our programs and the staff who work in them are a core element of CCDF. This section allows Lead Agencies to describe the steps that they are taking toward continuous quality improvement with a goal of having high quality child care options across settings for all families. While one of the key goals for CCDF is helping more low-income children access higher quality care, the Lead Agency has the flexibility to consider its goals and strategic plans for a child care quality improvement system for all families, not just those receiving assistance under CCDF.

Part 3 is organized around a template of four key components of quality which encompass most of the quality investments and initiatives undertaken by Lead Agencies:

1. Ensuring health and safety of children through **licensing and health and safety standards**
2. Establishing **early learning guidelines**
3. Creating pathways to excellence for child care programs through **program quality improvement activities**
4. Creating pathways to an effective, well-supported child care workforce through **professional development systems and workforce initiatives**.

For each component, Lead Agencies are asked to conduct a three-part process. In this section, Lead Agencies conduct a self-assessment **of their programs by responding to the questions in Part 3 that describe** the current status of their efforts, using common practices and best practices to list characteristics **that build off those that have been reported in previous plans. Second,** Lead Agencies then are asked to identify goals for making progress during the **FY 2014-2015** biennium and describe their data, performance measure and evaluation capacity for each component. Third, Lead Agencies will report progress on their goals using the Quality Performance Report which is included and described in Appendix 1. The QPR will not be submitted until December 31, 2014.

Based on information reported in past plans, it is expected that the Lead Agency will

describe in these first two steps how they will continue to make systematic investments towards child care quality improvement across its early childhood and school-age spectrum – including all settings, geographic coverage and age range – that will help show progress toward these outcomes and goals. Ultimately, these child care quality improvement elements should be fully implemented and integrated. Each States/Territory is expected to fall on a continuum of progress as a result of these first two steps. Lead Agency’s individual progress will be reported using the Quality Performance Report.

3.1. Activities to Ensure the Health and Safety of Children in Child Care (Component #1)

This section is intended to collect information on how Lead Agencies meet the statutory and regulatory provisions related to licensing and health and safety requirements. The CCDBG statute and the CCDF regulations address health and safety primarily in two ways.

First, Lead Agencies shall certify that they have in effect licensing requirements applicable to child care services provided within the area served by the Lead Agency (§98.40(a)(1)). These licensing requirements need not be applied to specific types of providers of child care services (658(E)(c)(2)(E)(i). Lead Agencies must describe those licensing requirements and how they are effectively enforced. Questions related to licensing requirements are in sections 3.1.1 and 3.1.2. Second, Each Lead Agency shall certify that there are in effect, within the State or local law, requirements designed to protect the health and safety of children that are applicable to child care providers of services for which assistance is provided under CCDF. Questions related to CCDF Health and Safety requirements are in sections 3.1.3 and 3.1.4

3.1.1. Compliance with Applicable State/Territory and Local Regulatory Requirements on Licensing

Lead Agencies shall certify that they have in effect licensing requirements applicable to child care services provided within the area served by the Lead Agency (§98.40(a)(1)). These licensing requirements need not be applied to specific types of providers of child care services (658(E)(c)(2)(E)(i). Lead Agencies must describe those licensing requirements and how they are effectively enforced.

Definition: Licensing requirements are defined as regulatory requirements, including registration or certification requirements established under State, local, or tribal law, necessary for a provider to legally operate and provide child care services in a State or locality (§98.2). **This does not include registration or certification requirements solely for child care providers to be eligible to participate in the CCDF program. Those requirements will be addressed in 3.1.2.**

The relationship between licensing requirements and health and safety requirements varies by State/Territory depending on how comprehensive the licensing system is. In some States and Territories, licensing may apply to the majority of CCDF-eligible providers and the licensing standards cover the three CCDF health and safety requirements so the State/Territory has few, if any, providers for whom they need to establish additional CCDF health and safety requirements. In other cases, States and Territories have elected to exempt large numbers of providers from licensing which means that those exempted providers who care for children receiving assistance from CCDF will have to meet to the CCDF health and safety requirements through an alternative process outside of licensing **as defined by the State/Territory**. The State/Territory may also elect to impose more stringent standards and licensing or regulatory requirements on child care providers of services for which assistance is provided under the CCDF than the standards or requirements imposed on other child care providers **of services for which assistance is provided under the CCDF than the standards or requirements imposed on other child care providers**. (§98.40(b)(1) (658E(c)(2)(F), §98.41)).

a) Is the Lead Agency responsible for child care licensing? (§98.11(a))

☐ Yes.

☒ No. Please identify the entity/agency responsible for licensing
The California Department of Social Services (CDSS), Community Care Licensing Division (CCLD), has jurisdiction over licensed child care facilities and does not have authority over unlicensed facilities unless a business is operating a child care facility without a license and does not meet an exemption by law.

b) Provide a brief overview of the relationship between the licensing requirements and CCDF health and safety requirements in your State/Territory.

While some CCDF facilities are licensed and unlicensed, CCLD health and safety requirements are documented through self-declarations in licensed facilities. A sample self-declaration is attached.

c) Do the State/Territory's licensing requirements serve as the CCDF health and safety requirements?

	Center-based Child Care	Group Home Child Care <input type="checkbox"/> N/A. Check if your State/Territory does not have Group Home Child Care	Family Child Care	In-Home Care <input type="checkbox"/> N/A. Check if in-home care is not subject to licensing in your State/Territory
Yes, for all providers in this category	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Yes, for some providers in this category	Describe The licensing requirements serve as the CCDF health and safety requirements for those facilities that do not meet an exemption from licensure.	Describe The licensing requirements serve as the CCDF health and safety requirements for those facilities that do not meet an exemption from licensure.	Describe The licensing requirements serve as the CCDF health and safety requirements for those facilities that do not meet an exemption from licensure.	Describe The licensing requirements serve as the CCDF health and safety requirements for those facilities that do not meet an exemption from licensure.
No	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Other	Describe	Describe	Describe	Describe

- d) CCDF identifies and defines four categories of care: child care centers, family child care homes, group child care homes and in-home child care providers (§98.2). The CCDF definition for each category is listed below. For each CCDF category of care, please identify which types of providers subject to and which providers are exempt from licensing in your State/Territory in the chart below. **Note: OCC recognizes that each State/Territory identifies and defines its own categories of care. OCC does not expect States/Territories to change their definitions to fit the CCDF-defined categories of care. For these questions, provide responses that closely match the CCDF categories of care but consistent with your reported 801 data.**

CCDF Category of Care	CCDF Definition (§98.2)	Which Providers in your State/Territory are subject to licensing under this CCDF category?	Are any providers in your State/Territory which fall under this CCDF category exempt from licensing?
Center-Based Child Care	Center-based child care providers are defined as a provider licensed or otherwise authorized to provide child care services for fewer than 24 hours per day per child in a non-residential setting, unless care in excess of 24 hours is due to the nature of the parent(s)' work.	Describe which types of center-based settings are subject to licensing in your State/Territory. Any place or building which less than 24 hours per day nonmedical care and supervision are providing to children in a group setting.	Describe which types of center-based settings are exempt from licensing in your State/Territory CO-OP; Relative Care; Public Recreation; Extended Care Provided by a Public/Private School; Program Operated by any Adult Education; Operates one day/week for no more than four hours; Temporary Child Care; Activities provided to children that are instructional; Programs administrated by the Dept. of Corrections; Boys /Girls Club/Scouts/Camp Fire; Heritage Schools; Organized Camps; After School and Safety Programs. For example, some jurisdictions exempt school-based centers, centers operated by religious organizations, summer camps, or Head Start programs.
Group Home Child Care <input type="checkbox"/> N/A. Check if your State/Territory does not have group home child care.	Group home child care provider is defined as two or more individuals who provide child care services for fewer than 24 hours per day per child, in a private residence other than the child's residence, unless care in excess of 24 hours is due to the nature of the parent(s)' work.	Describe which types of group homes are subject to licensing. The maximum number of children cared for when there is an assistant provider in the home, including children under age 10 who live in the home, and the assistant provider's children under age 10, is either: <ul style="list-style-type: none"> Twelve children, no 	Describe which types of group homes are exempt from licensing ____ California describes the group home child care provider as a large family child care home. All large family child care homes or group home care providers are required to be licensed.

CCDF Category of Care	CCDF Definition (§98.2)	Which Providers in your State/Territory are subject to licensing under this CCDF category?	Are any providers in your State/Territory which fall under this CCDF category exempt from licensing?
		<p>more than four of whom may be infants, or</p> <ul style="list-style-type: none"> Up to 14 children when one child is at least six years of age and one child is enrolled in and attending kindergarten or elementary school, and no more than three infants are in care. Parent notification and property owner consent must be on file. 	
Family Child Care	Family child care provider is defined as one individual who provides child care services for fewer than 24 hours per day per child, as the sole caregiver, in a private residence other than the child's	Describe which types of family child care home providers are subject to licensing. For a Small Family Child Care Home, the maximum number of children cared for, including	Describe which types of family child care home providers are exempt from licensing Family child care homes that care for the children of one other family or care for the children of their relatives (such as grandchild, niece, or nephew) are not required to be licensed.

CCDF Category of Care	CCDF Definition (§98.2)	Which Providers in your State/Territory are subject to licensing under this CCDF category?	Are any providers in your State/Territory which fall under this CCDF category exempt from licensing?
	<p>residence, unless care in excess of 24 hours is due to the nature of the parent(s)'s work.</p> <p>Reminder - Do not respond if family child care home providers simply must register or be certified to participate in the CCDF program separate from the State/Territory regulatory requirements.</p>	<p>children under age 10 who live in the home, is one of the following:</p> <ul style="list-style-type: none"> • Four infants, or six children, no more than three of whom may be infants. • Six children, or up to eight children when one child is at least six years of age and one child is enrolled in and attending kindergarten or elementary school and no more than two infants are in care. Parent notification and property owner consent must be on file. 	

CCDF Category of Care	CCDF Definition (§98.2)	Which Providers in your State/Territory are subject to licensing under this CCDF category?	Are any providers in your State/Territory which fall under this CCDF category exempt from licensing?
In-Home Care	<p>In-home child care provider is defined as an individual who provides child care services in the child's own home.</p> <p>Reminder - Do not respond if in-home child care providers simply must register or be certified to participate in the CCDF program separate from the State/Territory regulatory requirements.</p>	<p><input type="checkbox"/> N/A. Check if in-home care is not subject to licensing in your State/Territory.</p> <p>Describe which in-home providers are subject to licensing.</p> <p>For a Small Family Child Care Home, the maximum number of children cared for, including children under age 10 who live in the home, is one of the following:</p> <ul style="list-style-type: none"> • For infants, or six children, no more than three of whom may be infants. • Six children, or up to eight children when one child is at least six years of age and one child is enrolled in and attending kindergarten or elementary school and 	<p>Describe which types of in-home child care providers are exempt from licensing N/A</p>

CCDF Category of Care	CCDF Definition (§98.2)	Which Providers in your State/Territory are subject to licensing under this CCDF category?	Are any providers in your State/Territory which fall under this CCDF category exempt from licensing?
		no more than two infants are in care. Parent notification and property owner consent must be on file.	

Note: In lieu of submitting or attaching licensing regulations to certify the requirements of §98.40(a)(1), Lead Agencies may provide their licensing regulations to the National Resource Center for Health and Safety in Child Care and Early Education. Please check the NRCKid's website at <http://nrckids.org/> to verify the accuracy of your licensing regulations and provide any updates to the National Resource Center. **Check this box to indicate that the licensing requirements were submitted and verified at NRCKid's.** ☐

e) Indicate whether your State/Territory licensing requirements include any of the following four indicators for each category of care*. Note: If the State/Territory has child: staff ratios and group sizes in its licensing requirements, the Lead Agency will need to specify the ratios for each group. Lead Agencies will not be able to submit an attachment here.

*Source: National Resource Center for Health and Safety in Child Care and Early Education. (2003) Stepping Stones to Using Caring for Our Children: National Health and Safety Performance Standards, 2nd Ed. Health Resources and Services Administration, Maternal and Child Health Bureau. Available online: <http://nrckids.org/index.cfm/products/stepping-stones-to-caring-for-our-children-3rd-edition-ss3/>

Indicator	For each indicator, check all requirements for licensing that apply, if any.
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	Center-Based Child Care	Group Home Child Care <input type="checkbox"/> N/A. Check if your State/Territory does not have Group Home Child Care	Family Child Care	In-Home Care <input type="checkbox"/> N/A if the State/Territory does not license in-home care (i.e., care in the child's own home)
<p>Do the licensing requirements include child:staff ratios and group sizes?</p> <p>If yes, specify age group, where appropriate.</p>	<p><input checked="" type="checkbox"/> Yes, Child: staff ratio requirement</p> <p>Infant ratio (11 months): California defines infants as birth to 24 months – 1:4 teacher child ratio.</p> <p>Toddler ratio (35 months): California defines Infant Toddler Component as 18-30 months – 1:6 teacher child ratio.</p> <p>California defines Preschool Toddler Component as 18-36 months – 1:6 teacher child ratio</p> <p>Preschool Ratio (59 months): California defines Preschool to Kindergarten enrollment as 36 months to enrollment in Kindergarten – 1:12 teacher child ratio</p> <p><input type="checkbox"/> No ratio requirements.</p> <p><input type="checkbox"/> Yes, Group</p>	<p><input checked="" type="checkbox"/> Yes, Child: staff ratio requirement 2:14 child to adult ratio</p> <p>Infant ratio (11 months):</p> <p>Toddler ratio (35 months):</p> <p>Preschool Ratio (59 months):</p> <p><input type="checkbox"/> No ratio requirements.</p> <p><input type="checkbox"/> Yes, Group size requirement</p> <p>Infant group size (11 months):</p> <p>Toddler group size (35 months):</p> <p>Preschool group size (59 months):</p> <p><input checked="" type="checkbox"/> No group size requirements.</p>	<p><input checked="" type="checkbox"/> Yes, Child: staff ratio requirement. List ratio requirement by age group: 1:8 child to adult ratio</p> <p><input type="checkbox"/> No ratio requirements.</p> <p><input type="checkbox"/> Yes, Group size requirement. List ratio requirement by age group.</p> <p><input checked="" type="checkbox"/> No group size requirements.</p>	<p><input type="checkbox"/> Yes, Child: staff ratio requirement. List ratio requirement by age group:</p> <p><input checked="" type="checkbox"/> No ratio requirements.</p> <p><input type="checkbox"/> Yes, Group size requirement. List ratio requirement by age group.</p> <p><input checked="" type="checkbox"/> No group size requirements.</p>

	<p>size requirement</p> <p>Infant group size (11 months):</p> <p>Toddler group size (35 months):</p> <p>Preschool group size (59 months):</p> <p><input checked="" type="checkbox"/> No group size requirements.</p>			
Do the licensing requirements identify specific experience and educational credentials for child care directors?	<p><input checked="" type="checkbox"/> High school/GED</p> <p><input checked="" type="checkbox"/> Child Development Associate (CDA)</p> <p><input checked="" type="checkbox"/> State/Territory Credential</p> <p><input checked="" type="checkbox"/> Associate's degree</p> <p><input checked="" type="checkbox"/> Bachelor's degree</p> <p><input type="checkbox"/> No credential required for licensing</p> <p><input type="checkbox"/> Other:</p>	<p><input type="checkbox"/> High school/GED</p> <p><input type="checkbox"/> Child Development Associate (CDA)</p> <p><input type="checkbox"/> State/Territory Credential</p> <p><input type="checkbox"/> Associate's degree</p> <p><input type="checkbox"/> Bachelor's degree</p> <p><input checked="" type="checkbox"/> No credential required for licensing</p> <p><input type="checkbox"/> Other:</p>	<p><input type="checkbox"/> High school/GED</p> <p><input type="checkbox"/> Child Development Associate (CDA)</p> <p><input type="checkbox"/> State/Territory Credential</p> <p><input type="checkbox"/> Associate's degree</p> <p><input type="checkbox"/> Bachelor's degree</p> <p><input checked="" type="checkbox"/> No credential required for licensing</p> <p><input type="checkbox"/> Other:</p>	<p><input type="checkbox"/> High school/GED</p> <p><input type="checkbox"/> Child Development Associate (CDA)</p> <p><input type="checkbox"/> State/Territory Credential</p> <p><input type="checkbox"/> Associate's degree</p> <p><input type="checkbox"/> Bachelor's degree</p> <p><input type="checkbox"/> No credential required for licensing</p> <p><input checked="" type="checkbox"/> Other: License exempt facilities: no credential required.</p>
Do the licensing requirements identify specific experience and educational credentials for child care teachers?	<p><input checked="" type="checkbox"/> High school/GED</p> <p><input checked="" type="checkbox"/> Child Development Associate (CDA)</p> <p><input checked="" type="checkbox"/> State/Territory Credential</p> <p><input checked="" type="checkbox"/> Associate's degree</p> <p><input checked="" type="checkbox"/> Bachelor's degree</p> <p><input type="checkbox"/> No credential required for licensing</p> <p><input type="checkbox"/> Other:</p>	<p><input type="checkbox"/> High school/GED</p> <p><input type="checkbox"/> Child Development Associate (CDA)</p> <p><input type="checkbox"/> State/Territory Credential</p> <p><input type="checkbox"/> Associate's degree</p> <p><input type="checkbox"/> Bachelor's degree</p> <p><input checked="" type="checkbox"/> No credential required for licensing</p> <p><input type="checkbox"/> Other:</p>	<p><input type="checkbox"/> High school/GED</p> <p><input type="checkbox"/> Child Development Associate (CDA)</p> <p><input type="checkbox"/> State/Territory Credential</p> <p><input type="checkbox"/> Associate's degree</p> <p><input type="checkbox"/> Bachelor's degree</p> <p><input checked="" type="checkbox"/> No credential required for licensing</p> <p><input type="checkbox"/> Other:</p>	<p><input type="checkbox"/> High school/GED</p> <p><input type="checkbox"/> Child Development Associate (CDA)</p> <p><input type="checkbox"/> State/Territory Credential</p> <p><input type="checkbox"/> Associate's degree</p> <p><input type="checkbox"/> Bachelor's degree</p> <p><input type="checkbox"/> No credential required for licensing</p> <p><input checked="" type="checkbox"/> Other: License exempt facilities: no credential</p>

				required.
Do the licensing requirements specify that directors and caregivers must attain a specific number of training hours per year ?	<input type="checkbox"/> At least 30 training hours required in first year <input type="checkbox"/> At least 24 training hours per year after first year <input checked="" type="checkbox"/> No training requirement <input type="checkbox"/> Other:	<input type="checkbox"/> At least 30 training hours required in first year <input type="checkbox"/> At least 24 training hours per year after first year <input checked="" type="checkbox"/> No training requirement <input type="checkbox"/> Other:	<input type="checkbox"/> At least 30 training hours required in first year <input type="checkbox"/> At least 24 training hours per year after first year <input checked="" type="checkbox"/> No training requirement <input type="checkbox"/> Other:	<input type="checkbox"/> At least 30 training hours required in first year <input type="checkbox"/> At least 24 training hours per year after first year <input checked="" type="checkbox"/> No training requirement <input type="checkbox"/> Other:

f) Do you expect the licensing requirements for child care providers to change in **FY2014-2015?**

- ☒ Yes. Describe **CDSS has implemented nutritious beverages guidelines to improve the health of children in child care. In addition, CDSS has implemented a more stringent passenger restraint requirement which meets California's motor vehicle safety standards.**
- ☐ No

3.1.2 Enforcement of Licensing Requirements

Each Lead Agency is required to provide a detailed description of the State/Territory's licensing requirements and how its licensing requirements are effectively enforced. (658E(c)(2)(E), §98.40(a)(2)) The Lead Agency is also required to certify that that procedures are in effect to ensure that child care providers caring for children receiving CCDF services comply with the applicable health and safety requirements. (658E(c)(2)(G), §98.41(d))

Describe the State/Territory's policies for effective enforcement of the licensing requirements using questions 3.1.2a through 3.1.2e below. This description includes whether and how the State/Territory uses visits (announced and unannounced), background checks, and any other enforcement policies and practices for the licensing requirements.

a) Does your State/Territory include **announced** and/or **unannounced** visits in its policies as a way to effectively enforce the licensing requirements?

- ☒ Yes. If "Yes" please refer to the chart below and check all that apply.
- ☐ No

CCDF Categories of Care	Frequency of Routine Announced Visits	Frequency of Routine Unannounced Visits
<input checked="" type="checkbox"/> Center-Based Child Care <input type="checkbox"/> N/A. Check if your State/Territory does not have Group Home Child Care	<input type="checkbox"/> Once a Year <input type="checkbox"/> More than Once a Year <input type="checkbox"/> Once Every Two Years	<input type="checkbox"/> Once a Year <input type="checkbox"/> More than Once a Year <input type="checkbox"/> Once Every Two Years

	<input checked="" type="checkbox"/> Other. Describe Initial Pre-license visit.	<input checked="" type="checkbox"/> Other. Describe Not less than once every five years.
<input checked="" type="checkbox"/> Group Home Child Care	<input type="checkbox"/> Once a Year <input type="checkbox"/> More than Once a Year <input type="checkbox"/> Once Every Two Years <input checked="" type="checkbox"/> Other. Describe Initial Pre-license visit.	<input type="checkbox"/> Once a Year <input type="checkbox"/> More than Once a Year <input type="checkbox"/> Once Every Two Years <input checked="" type="checkbox"/> Other. Describe Not less than once every five years.
<input checked="" type="checkbox"/> Family Child Care Home	<input type="checkbox"/> Once a Year <input type="checkbox"/> More than Once a Year <input type="checkbox"/> Once Every Two Years <input checked="" type="checkbox"/> Other. Describe : Initial Pre-license visit.	<input type="checkbox"/> Once a Year <input type="checkbox"/> More than Once a Year <input type="checkbox"/> Once Every Two Years <input checked="" type="checkbox"/> Other. Describe Not less than once every five years.
<input type="checkbox"/> In-Home Child Care <input type="checkbox"/> N/A. Check if In-Home Child Care is not subject to licensing in your State/Territory (skip to 3.1.2b)	<input type="checkbox"/> Once a Year <input type="checkbox"/> More than Once a Year <input type="checkbox"/> Once Every Two Years <input type="checkbox"/> Other. Describe	<input type="checkbox"/> Once a Year <input type="checkbox"/> More than Once a Year <input type="checkbox"/> Once Every Two Years <input type="checkbox"/> Other. Describe

b) Does your State/Territory have any of the following procedures in place for effective enforcement of the licensing requirements? If procedures differ based on the category of care, please indicate how in the “Describe” box.

☒ Yes. If “Yes” please refer to the chart below and check all that apply.
☐ No

Licensing Procedures	Describe which procedures are used by the State/Territory for enforcement of the licensing requirements.
The State/Territory requires providers to attend or participate in training relating to opening a child care facility prior to issuing a license.	<input checked="" type="checkbox"/> Yes. Describe Mandatory Licensing Orientation <input type="checkbox"/> No. <input type="checkbox"/> Other. Describe _____
The State/Territory has procedures in place for licensing staff to inspect centers and family child care homes prior to issuing a license.	<input checked="" type="checkbox"/> An on-site inspection is conducted. <input checked="" type="checkbox"/> Programs self-certify. Describe _____ <input checked="" type="checkbox"/> No procedures in place. <input checked="" type="checkbox"/> Other. Describe Background checks.
Licensing staff has procedures in place to address violations found in an inspection.	<input checked="" type="checkbox"/> Providers are required to submit plans to correct violations cited during inspections. <input checked="" type="checkbox"/> Licensing staff approve the plans of correction submitted by providers.

Licensing Procedures	Describe which procedures are used by the State/Territory for enforcement of the licensing requirements.
	<input checked="" type="checkbox"/> Licensing staff verify correction of violation. <input checked="" type="checkbox"/> Licensing staff provide technical assistance regarding how to comply with a regulation. <input type="checkbox"/> No procedures in place. <input type="checkbox"/> Other. Describe _____
Licensing staff has procedures in place to issue a negative sanction to a noncompliant facility.	<input checked="" type="checkbox"/> Provisional or probationary license <input checked="" type="checkbox"/> License revocation or non-renewal <input checked="" type="checkbox"/> Injunctions through court <input checked="" type="checkbox"/> Emergency or immediate closure not through court action <input checked="" type="checkbox"/> Fines for regulatory violations <input type="checkbox"/> No procedures in place. <input type="checkbox"/> Other. Describe _____
The State/Territory has procedures in place to respond to illegally operating child care facilities.	<input checked="" type="checkbox"/> Cease and desist action <input checked="" type="checkbox"/> Injunction <input checked="" type="checkbox"/> Emergency or immediate closure not through court action <input checked="" type="checkbox"/> Fines <input type="checkbox"/> No procedures in place. <input type="checkbox"/> Other. Describe _____
The State/Territory has procedures in place for providers to appeal licensing enforcement actions.	<input checked="" type="checkbox"/> Yes. Describe Appeals may be filed within 10 working days from the date the licensee receives the report or penalty notice. <input type="checkbox"/> No. <input type="checkbox"/> Other. Describe _____

c) Does your State/Territory use **background checks** as a way to effectively enforce the licensing requirements?

☒ Yes. If "Yes" please use refer to the chart below to identify who is required to have background checks, what types of checks, and with what frequency.

☐ No

CCDF Categories of Care	Types of Background Check	Frequency	Who is subject to Background Checks?
<input checked="" type="checkbox"/> Center-Based Child Care	<input checked="" type="checkbox"/> Child Abuse Registry	<input checked="" type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted	<input checked="" type="checkbox"/> Director <input checked="" type="checkbox"/> Teaching Staff <input checked="" type="checkbox"/> Non-teaching staff <input checked="" type="checkbox"/> Volunteers

CCDF Categories of Care	Types of Background Check	Frequency	Who is subject to Background Checks?
		Annually <input checked="" type="checkbox"/> Other. Describe Receive as person comes on registry.	<input checked="" type="checkbox"/> Other All adults responsible for the administration or direct supervision of staff, any person that provides care and supervision and any person, volunteer or employee that has contact with the children that does not meet with a statutory exemption.
	<input checked="" type="checkbox"/> State/Territory Criminal Background <input checked="" type="checkbox"/> Check if State/Territory background check includes fingerprints	<input checked="" type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually <input checked="" type="checkbox"/> Other. Describe Department of Justice notifies licensing if there is any relevant activity.	<input checked="" type="checkbox"/> Director <input checked="" type="checkbox"/> Teaching Staff <input checked="" type="checkbox"/> Non-teaching staff <input checked="" type="checkbox"/> Volunteers <input checked="" type="checkbox"/> Other All adults responsible for the administration or direct supervision of staff, any person that provides care and supervision and any person, volunteer or employee that has contact with the children that does not meet with a statutory exemption.
	<input checked="" type="checkbox"/> FBI Criminal Background (e.g., fingerprint)	<input checked="" type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually <input checked="" type="checkbox"/> Other. Describe Receive subsequent arrest/conviction.	<input checked="" type="checkbox"/> Director <input checked="" type="checkbox"/> Teaching Staff <input checked="" type="checkbox"/> Non-teaching staff <input checked="" type="checkbox"/> Volunteers <input checked="" type="checkbox"/> Other All adults responsible for the administration or direct supervision of staff, any person that provides care and supervision and any person, volunteer or employee that has contact with the children that does not meet with a statutory exemption.

CCDF Categories of Care	Types of Background Check	Frequency	Who is subject to Background Checks?
	<input checked="" type="checkbox"/> Sex Offender Registry	<input type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually <input checked="" type="checkbox"/> Other. Describe Check prior to evaluation visit.	<input checked="" type="checkbox"/> Director <input checked="" type="checkbox"/> Teaching Staff <input checked="" type="checkbox"/> Non-teaching staff <input checked="" type="checkbox"/> Volunteers <input checked="" type="checkbox"/> Other All adults responsible for the administration or direct supervision of staff, any person that provides care and supervision and any person, volunteer or employee that has contact with the children that does not meet with a statutory exemption.
<input checked="" type="checkbox"/> Group Child Care Homes <input type="checkbox"/> N/A. Check if your State/Territory does not have Group Home Child Care	<input checked="" type="checkbox"/> Child Abuse Registry	<input checked="" type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually <input checked="" type="checkbox"/> Other. Describe Receive as person comes on registry.	<input checked="" type="checkbox"/> Provider <input checked="" type="checkbox"/> Non-provider residents of the home
	<input checked="" type="checkbox"/> State/Territory Criminal Background <input checked="" type="checkbox"/> Check if the State/Territory background check includes fingerprints	<input checked="" type="checkbox"/> Initial Entrance into the System <input checked="" type="checkbox"/> Checks Conducted Annually <input type="checkbox"/> Other. Describe —	<input checked="" type="checkbox"/> Provider <input checked="" type="checkbox"/> Non-provider residents of the home
	<input checked="" type="checkbox"/> FBI Criminal Background (e.g., fingerprint)	<input checked="" type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually <input checked="" type="checkbox"/> Other. Describe Receive subsequent arrest/conviction.	<input checked="" type="checkbox"/> Provider <input checked="" type="checkbox"/> Non-provider residents of the home

CCDF Categories of Care	Types of Background Check	Frequency	Who is subject to Background Checks?
	<input checked="" type="checkbox"/> Sex Offender Registry	<input checked="" type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually <input checked="" type="checkbox"/> Other. Describe Check prior to evaluation visit.	<input checked="" type="checkbox"/> Provider <input checked="" type="checkbox"/> Non-provider residents of the home _____
<input checked="" type="checkbox"/> Family Child Care Homes	<input checked="" type="checkbox"/> Child Abuse Registry	<input checked="" type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually <input checked="" type="checkbox"/> Other. Describe Receive as person comes on registry.	<input checked="" type="checkbox"/> Provider <input checked="" type="checkbox"/> Non-provider residents of the home _____
	<input checked="" type="checkbox"/> State/Territory Criminal Background <input checked="" type="checkbox"/> Check if the State/Territory background check includes fingerprints	<input checked="" type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually <input checked="" type="checkbox"/> Other. Describe Department of Justice notifies licensing if there is any relevant activity.	<input checked="" type="checkbox"/> Provider <input checked="" type="checkbox"/> Non-provider residents of the home _____
	<input checked="" type="checkbox"/> FBI Criminal Background (e.g., fingerprint)	<input checked="" type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually <input checked="" type="checkbox"/> Other. Describe Receive subsequent arrest/conviction.	<input checked="" type="checkbox"/> Provider <input checked="" type="checkbox"/> Non-provider residents of the home _____
	<input checked="" type="checkbox"/> Sex Offender Registry	<input checked="" type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually <input checked="" type="checkbox"/> Other. Describe Check prior to evaluation visit.	<input checked="" type="checkbox"/> Provider <input checked="" type="checkbox"/> Non-provider residents of the home _____


CCDF Categories of Care	Types of Background Check	Frequency	Who is subject to Background Checks?
<input type="checkbox"/> In-Home Child Care Providers <input checked="" type="checkbox"/> N/A. Check if In-Home Child Care is not subject to licensing in your State/Territory (skip to 3.1.2e) In home providers who are not a grandparent, aunt, or uncle of the child are required to have TrustLine fingerprinting.	<input checked="" type="checkbox"/> Child Abuse Registry	<input checked="" type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually <input type="checkbox"/> Other. Describe _____	<input type="checkbox"/> Provider <input type="checkbox"/> Non-provider residents of the home _____
	<input checked="" type="checkbox"/> State/Territory Criminal Background <input checked="" type="checkbox"/> Check if the State/Territory background check includes fingerprints	<input checked="" type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually <input type="checkbox"/> Other. Describe _____	<input type="checkbox"/> Provider <input type="checkbox"/> Non-provider residents of the home _____
	<input checked="" type="checkbox"/> FBI Criminal Background (e.g., fingerprint)	<input checked="" type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually <input type="checkbox"/> Other. Describe _____	<input type="checkbox"/> Provider <input type="checkbox"/> Non-provider residents of the home _____
	<input checked="" type="checkbox"/> Sex Offender Registry	<input checked="" type="checkbox"/> Initial Entrance into the System <input type="checkbox"/> Checks Conducted Annually <input type="checkbox"/> Other. Describe _____	<input type="checkbox"/> Provider <input type="checkbox"/> Non-provider residents of the home _____

- d) Please **provide a brief overview** of the State/Territory's process for conducting background checks for child care. In this brief overview, include the following:

TrustLine is California's registry of in-home child care providers, tutors, in-home counselors, and child care staff at Ancillary Child Care Centers who have passed a background screening. It was created by the California Legislature in 1987 All caregivers listed with TrustLine have been cleared through a fingerprint check of records at the California Department of Justice. This means they have no disqualifying criminal convictions or substantiated child abuse reports in California. TrustLine is administered by the California Department of Social Services (CDSS) and the non-profit Child Care Resource and Referral Network.

d-1) The cost associated with each background check conducted Total processing fees to register on TrustLine range from about \$135 for babysitters and nannies to about \$170 for staff in ancillary day care centers. Fees also vary depending on how fingerprints are submitted.

d-2) Who pays for background checks State law does not indicate who is required to pay for the background check. The person applying to be TrustLine certified is usually the person that pays for the background check.

d-3) What types of violations would make providers ineligible for CCDF? Describe Murder, manslaughter, willful child cruelty, and kidnapping are a few examples of disqualifying crimes. A complete list of criminal convictions that automatically disqualify applicants is available at: <http://www.trustline.org/> 

d-4) The process for providers to appeal the Lead Agency's decision based on the background check findings. Describe If, the CDSS denies TrustLine certification, it must advise the applicant of their right to appeal. The applicant has up to 15 days to appeal the denial. Upon receipt by the CDSS of the appeal, the appeal shall be set for hearing.

e) If not performing visits (announced or unannounced) or background checks, describe how the State/Territory will ensure that its licensing requirements are effectively enforced per the CCDF regulations? The CCLD has developed Self-Evaluation checklists and Self-Assessment Guides, (658E(c)(2)(E), §98.40(a)(2))

f) Does the State/Territory disseminate information to parents and the public, including the use of on-line tools or other "search tools," about child care program licensing status and compliance records?

☒ Yes. Describe The public may find out the license status of Child Care Centers and Large Family Child Care Home on the Department's Web site. To obtain compliance records the public must contact the Department directly.

☐ No

3.1.3. Compliance with Applicable State/Territory and Local Regulatory Requirements on Health and Safety

Each Lead Agency shall certify that there are in effect, within the State or local law, requirements designed to protect the health and safety of children that are applicable to child care providers of services for which assistance is provided under CCDF. Such requirements shall include the prevention and control of infectious diseases (including immunization), building and physical premises safety, and minimum health and safety training appropriate to the provider setting. These health and safety requirements apply to all providers caring for children receiving CCDF services and which also may be covered by the licensing requirements. (658E(c)(2)(F), §98.41)

☐ Check if the Lead Agency certifies that there are in effect within the State (or other area served by the Lead Agency), under State or local law, requirements designed to protect the health and safety of children; these requirements are applicable to child care providers that provide services for which assistance is made available under the Child Care and Development Fund. (658E(c)(2)(E))

a) **Describe** the Lead Agency's health and safety requirements for prevention and control of infectious disease in effect for child care providers of services

for which assistance is provided under CCDF using the table below.
(658E(c)(2)(F)(i), §98.41(a)(1))

The Lead Agency requires:	For each health and safety requirement checked, identify which providers under the CCDF category must meet the requirement. Check all that apply.			
	Center-based child care providers	Family child care home providers	Group home child care providers	In-home child care providers
<input checked="" type="checkbox"/> Physical exam or health statement for providers	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/> Physical exam or health statement for children	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/> Tuberculosis check for providers	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/> Tuberculosis check for children	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Provider immunizations	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/> Child immunizations	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/> Hand-washing policy for providers and children	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/> Diapering policy and procedures	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Providers to submit a self-certification or complete health and safety checklist	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Providers to meet the requirements of another oversight entity that fulfill the CCDF health and safety requirements	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Other. Describe _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

b) **Describe** the Lead Agency's health and safety requirements for building and physical premises safety, including policies and practices to protect from environmental hazards, in effect for child care providers of services for which assistance is provided under CCDF using the table below. (658E(c)(2)(F)(ii), §98.41(a)(2))

The Lead Agency requires:	For each health and safety requirement checked, identify which providers under the CCDF category must meet the requirement. Check all that apply.			
	Center-based child care providers	Family child care home providers	Group home child care providers	In-home child care providers
<input checked="" type="checkbox"/> Fire inspection	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/> Building inspection	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

The Lead Agency requires:	For each health and safety requirement checked, identify which providers under the CCDF category must meet the requirement. Check all that apply.			
<input checked="" type="checkbox"/> Health inspection	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/> Inaccessibility of toxic substances policy	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Safe sleep policy	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/> Tobacco exposure reduction	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/> Transportation policy	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Providers to submit a self-certification or complete health and safety checklist	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Providers to meet the requirements of another oversight entity that fulfill the CCDF health and safety requirements	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Other. Describe	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

c) **Describe** the Lead Agency's health and safety requirements for health and safety training in effect for child care providers of services for which assistance is provided under CCDF using the table below. (658E(c)(2)(F)(iii), §98.41(a)(3)). Note: While Lead Agencies have the flexibility to define these terms, for this question, pre-service refers to any training that happens prior to a person starting or shortly thereafter (first week, etc.). "On-going" would be some type of routine occurrence (such as to maintain qualifications each year).

CCDF Categories of Care	Health and safety training requirements	Pre-Service	On-Going
Child Care Centers	First Aid	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
	CPR	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
	Medication Administration Policies and Practices	<input checked="" type="checkbox"/>	
	Poison Prevention and Safety	<input checked="" type="checkbox"/>	
	Safe Sleep Practices including Sudden Infant Death Syndrome (SIDS) Prevention	<input checked="" type="checkbox"/>	
	Shaken Baby Syndrome and abusive head trauma prevention	<input checked="" type="checkbox"/>	
	Age appropriate nutrition, feeding, including support for breastfeeding	<input checked="" type="checkbox"/>	
	Physical Activities	<input checked="" type="checkbox"/>	
	Procedures for preventing the spread of infectious disease, including sanitary methods and safe handling of foods	<input checked="" type="checkbox"/>	
	Recognition and mandatory reporting of suspected child abuse and neglect	<input checked="" type="checkbox"/>	
	Emergency preparedness and planning response	<input checked="" type="checkbox"/>	

CCDF Categories of Care	Health and safety training requirements	Pre- Service	On- Going
	procedures		
	Management of common childhood illnesses, including food intolerances and allergies	X	
	Transportation and child passenger safety (if applicable)	X	
	Caring for children with special health care needs, mental health needs, and developmental disabilities in compliance with the Americans with Disabilities (ADA) Act	X	
	Child development including knowledge of developmental stages and milestones appropriate for the ages of children receiving services.	X	
	Supervision of children	X	
	Behavior management	X	
	Other. Describe		
Group Home Child Care	First Aid	X	X
	CPR	X	X
	Medication Administration Policies and Practices	X	
	Poison Prevention and Safety	X	
	Safe Sleep Practices including Sudden Infant Death Syndrome (SIDS) Prevention	X	
	Shaken Baby Syndrome and abusive head trauma prevention	X	
	Age appropriate nutrition, feeding, including support for breastfeeding	X	
	Physical Activities	X	
	Procedures for preventing the spread of infectious disease, including sanitary methods and safe handling of foods	X	
	Recognition and mandatory reporting of suspected child abuse and neglect	X	
	Emergency preparedness and planning response procedures	X	
	Management of common childhood illnesses, including food intolerances and allergies	X	
	Transportation and child passenger safety (if applicable)	X	
	Caring for children with special health care needs, mental health needs, and developmental disabilities in compliance with the Americans with Disabilities (ADA) Act	X	
	Child development including knowledge of developmental stages and milestones appropriate for the ages of children receiving services.	X	
	Supervision of children	X	
	Behavior management	X	
	Other. Describe	X	

CCDF Categories of Care	Health and safety training requirements	Pre- Service	On- Going
Family Child Care Providers	First Aid	X	X
	CPR	X	X
	Medication Administration Policies and Practices	X	
	Poison Prevention and Safety	X	
	Safe Sleep Practices including Sudden Infant Death Syndrome (SIDS) Prevention	X	
	Shaken Baby Syndrome and abusive head trauma prevention	X	
	Age appropriate nutrition, feeding, including support for breastfeeding	X	
	Physical Activities	X	
	Procedures for preventing the spread of infectious disease, including sanitary methods and safe handling of foods	X	
	Recognition and mandatory reporting of suspected child abuse and neglect	X	
	Emergency preparedness and planning response procedures	X	
	Management of common childhood illnesses, including food intolerances and allergies	X	
	Transportation and child passenger safety (if applicable)	X	
	Caring for children with special health care needs, mental health needs, and developmental disabilities in compliance with the Americans with Disabilities (ADA) Act	X	
	Child development including knowledge of developmental stages and milestones appropriate for the ages of children receiving services.	X	
	Supervision of children	X	
	Behavior management		
	Other. Describe		
In-Home Child Care Providers	First Aid	X	X
	CPR	X	X
	Medication Administration Policies and Practices	X	
	Poison Prevention and Safety	X	
	Safe Sleep Practices including Sudden Infant Death Syndrome (SIDS) Prevention	X	
	Shaken Baby Syndrome and abusive head trauma prevention	X	
	Age appropriate nutrition, feeding, including support for breastfeeding	X	
	Physical Activities	X	
	Procedures for preventing the spread of infectious disease, including sanitary methods and safe handling of foods	X	
	Recognition and mandatory reporting of	X	

CCDF Categories of Care	Health and safety training requirements	Pre-Service	On-Going
	suspected child abuse and neglect		
	Emergency preparedness and planning response procedures	X	
	Management of common childhood illnesses, including food intolerances and allergies	X	
	Transportation and child passenger safety (if applicable)	X	
	Caring for children with special health care needs, mental health needs, and developmental disabilities in compliance with the Americans with Disabilities (ADA) Act	X	
	Child development including knowledge of developmental stages and milestones appropriate for the ages of children receiving services.	X	
	Supervision of children	X	
	Behavior management	X	
	Other. Describe		

d) CCDF allows Lead Agencies to exempt relative providers (grandparents, great-grandparents, siblings if living in a separate residence, aunts, and uncles) from these health and safety requirements. What are the Lead Agency's requirements for relative providers? (§98.41(A)(ii)(A))

- ☐ All relative providers are subject to the same health and safety requirements as described in 3.1.3a-c, as appropriate; there are no exceptions for relatives.
- ☒ Relative providers are NOT required to meet any health and safety requirements as described in 3.1.3a-c, as appropriate.
- ☐ Relative providers are subject to certain requirements. Describe the different requirements _____

e) Provide a web address for the State/Territory's health and safety requirements, if available: _____

3.1.4 Describe the State/Territory's policies for effective enforcement of the health and safety requirements. For providers who care for children receiving CCDF assistance and who are NOT subject to the enforcement procedures described in 3.1.2 for licensed providers, please describe **how the Lead Agency enforces the health and safety requirements.**

The State does not conduct on-site visits for license-exempt providers. However, license-exempt providers are investigated by Child Protective Services if there is any report of abuse, neglect or any situation that affects the safety of the child. As a result of these investigations, license-exempt providers may no longer qualify for reimbursement for care provided and funding would cease. License-exempt in home providers who are not a grandparent, aunt, or uncle of the child are required to have TrustLine fingerprinting. TrustLine fingerprinting includes: state criminal background checks, FBI criminal background

checks, and the child abuse and sex offender registries. If a felony is committed by an individual actively providing care as a license-exempt provider their Trustline and fingerprint clearance will be revoked.

- a) Describe whether and how the State/Territory uses on-site visits (announced and unannounced) Yes, the CDSS uses announced and unannounced site visits to determine compliance with laws and regulations.
- b) Describe whether the State/Territory uses background checks Yes, the CDSS conducts background checks prior to allowing an adult to be present in the facility or providing care and supervision to children.
- c) Describe whether the State/Territory uses any other enforcement policies and practices for the health and safety requirements N/A
- d) Does the State/Territory permit providers to self-certify compliance with applicable health and safety standards?

☒ Yes. If Yes, what documentation, if any, is required? Describe <http://www.dss.cahwnet.gov/cdssweb/entres/forms/English/CCP4.PDF>
☐ No

☐ Check if the Lead Agency certifies that procedures are in effect to ensure that child care providers of services for which assistance is provided under the Child Care and Development Fund comply with all applicable State or local health and safety requirements. (658E(c)(2)(G))

3.1.5 Does the State/Territory encourage or require child care programs to conduct developmental screening and referral for children participating in child care programs? Lead Agencies are not required to conduct developmental screenings of children, but are encouraged to work with child care providers to promote screening in the areas of physical health (including vision and hearing), mental health, oral health, and developmental disabilities.

☒ Yes. Describe

a) If yes, are training, resources and supports offered to programs to assist them in ensuring that children receive appropriate developmental screenings?

☐ Yes. Describe _____

☐ No

☒ Other. Describe _____

Developmental screening and referral are a focus of California's Race to the Top – Early Learning Challenge (RTT-ELC) grant. Screening (developmental and health) is incorporated into the Tiered Quality Rating and Improvement System (TQRIS) as a rated element. To support this, RTT-ELC funds provided training for Consortia members

in all 16 counties to attend train-the-trainer sessions on the Ages and Stages Questionnaire (ASQ) and ASQ-Social Emotional screening tools. Additional funding provided for the purchase of over 1800 ASQ and ASQ-SE kits and questionnaires to be distributed to child care providers participating in the TQRIS.

b) If yes, are resources and supports provided to programs to help them understand how families are referred to indicated services and how to work with the health, mental health, and developmental disabilities agencies to support children when follow-up to screening is needed?

☐ Yes. Describe _____

☐ No

☒ Other. Describe _____

The training described in a), above, included a component on providing follow-up and appropriate referrals. Additional technical assistance related to screening is being planned for 2014 to include county-specific protocols for sharing screening results and knowledge of referral pathways specific to each county.

c) Does the State/Territory use developmental screening and referral tools?

☐ Yes. If Yes, provide the name of the tool _____

☐ No

☒ Other. Describe _____

Programs participating in RTT-ELC may choose to use any screening tool that is valid and reliable or may use the ASQ to receive additional points toward their site rating.

☐ No.

3.1.6 Data & Performance Measures on Licensing and Health and Safety Compliance – What data elements, if any, does the State/Territory currently have access to related to licensing compliance? What, if any, performance measures does the Lead Agency use for ensuring health and safety? The purpose of these questions is for Lead Agencies to provide a description of their capacity to provide information, not to require Lead Agencies to collect or report this information. For any data elements checked, Lead Agencies **may provide an optional description about the data they have access to** (e.g., the Lead Agency may have data for only licensed programs, only programs caring for children receiving CCDF subsidies, only providers participating in quality improvement systems, or only for certain age groups (e.g., infants and toddlers or school-age children)).

a) Data on licensing and health and safety. Indicate if the Lead Agency or another agency has access to data on:

☒ Number of licensed programs. Describe (optional) _____

- ☐ Numbers of programs operating that are legally exempt from licensing. Describe (optional) ____
- ☒ Number of programs whose licenses were suspended or revoked due to non-compliance. Describe (optional) ____
- ☒ Number of injuries in child care as defined by the State/Territory. Describe (optional) Only if the injury is reported to the Department.
- ☒ Number of fatalities in child care as defined by the State/Territory. Describe (optional) Only if the fatality is reported to the Department.
- ☒ Number of monitoring visits received by programs. Describe (optional) ____
- ☒ Caseload of licensing staff. Describe (optional) ____
- ☐ Number of programs revoked from CCDF due to non-compliance with health and safety requirements. Describe (optional) ____
- ☒ Other. Describe Number of all programs revoked due to non-compliance with health and safety requirements. Data does not sort facilities that are funded by CCDF or any other funding source.
- ☐ None

b) **Performance measurement.** What, if any, performance measures does the State/Territory use in its licensing system to monitor compliance with CCDF health and safety requirements? Facility evaluations are conducted to verify compliance with Health and Safety standards. Facilities that are non-compliant with the Health and Safety standards are cited and must establish a plan of correction. Facilities that are non-compliant with serious violations or repeat a violation in the same year are subject to a civil penalty assessment.

c) **Evaluation.** What, if any, are the State/Territory's plans for evaluation related to licensing and health and safety? Evaluation can include efforts related to monitoring implementation of an initiative, validation of standards or assessment tools, or looking at outcomes in programs or the system and may be ongoing or conducted periodically. CDSS, CCLD is designing, developing and implementing methods for annual validation of assessment tools. Additionally, CDSS, CCLD are assessing business processes and practices to create efficiencies for the state and providers. CDSS, CCLD are exploring opportunities for additional statistical analysis and studies that may result in management information on outputs, process efficiency and change over time (outcomes).

3.1.7 Goals for the next Biennium – In this section, Lead Agencies are asked to identify at least one goal for the upcoming biennium and are encouraged to identify no more than five priority goals total. ACF will target technical assistance efforts to help Lead Agencies achieve their goal(s). Lead Agencies may include existing goals (e.g., already identified in a State strategic plan or established by the Governor for a Lead Agency). Lead Agencies are not required to establish a goal for each sub-section of 3.1. Lead Agencies will report progress and updates on these goals in the annual Quality Performance Report (Appendix 1), including any barriers encountered.

What are the Lead Agency's goals for the licensing and health and safety system in the coming biennium? What progress does the State/Territory expect to make on core areas (e.g. licensing standards, monitoring visits or other effective enforcement, improved technical assistance, or fewer serious non-compliances?)

Note – When identifying your goals below, Lead Agencies are encouraged to begin with an action verb reflecting the desired result over the two year period (e.g., Increase, Improve, Build, Align, Implement, Review, Revise, Streamline, Expand, etc.)

Goal 1-Enhance the Child Care Licensing website
Goal 2-Continue to improve the frequency of licensing inspections
Goal 3-Continue to review and improve California's child care and licensing regulations
Goal 4-
Goal 5-

New! CCDF has a number of performance measures that are used to track progress for key aspects of the program at the national level. These performance measures are included in budget materials submitted to Congress and other documents. Please see the CCDF performance measures available at <http://www.acf.hhs.gov/programs/occ/resource/government-performance-and-results-act-gpra-measures>. A number of these performance measures rely on information reported in the State and Territorial Plans as a data source. We have added a ruler icon in Section 3.2 through 3.4 order to identify the specific questions used in the performance measures. When answering these questions, Lead Agencies should ensure that their answers are accurate and complete in order to promote the usefulness and integrity of the performance measures.

3.2 Establishing Voluntary Early Learning Guidelines (Component #2)

For purposes of this section, voluntary early learning guidelines (also referred to as early learning and development standards) include the expectations for what children should know (content) and be able to do (skills) at different levels of development. These standards provide guidelines, articulate developmental milestones, and set expectations for the healthy growth and development of young children. The term *early learning guidelines* (ELGs) refers to age-appropriate developmental learning guidelines for infants and toddlers and school-age children. These early learning guidelines are voluntary because States/Territories are not required to develop such guidelines or implement them in a specified manner.

3.2.1 Has the State/Territory developed voluntary early learning guidelines for children? Check any early learning guidelines the State/Territory has developed.

☒ Birth-to-three

- ☒ Three-to-five
☐ Five years and older
☐ None. **Skip to 3.2.6.**

If yes, insert web addresses, where possible: [Birth-to-three: Infant/Toddler Learning & Development Foundations, English version:](#)

<http://www.cde.ca.gov/sp/cd/re/itfoundations.asp>

Spanish version: <http://www.cde.ca.gov/sp/cd/re/documents/itfoundationsspan.pdf>

Three-to-five:Preschool Learning Foundations, Vol. 1, 2 & 3

<http://www.cde.ca.gov/sp/cd/re/psfoundations.asp>

Which State/Territory agency is the lead for the early learning guidelines?
[California Department of Education](#)

3.2.2 Do the early learning guidelines cover a range of domains across physical, cognitive, and social and emotional development? Check all that apply for each age group as applicable in the chart below. Because States vary in their domain names and which domains to include, we have used the domains identified in the Head Start Child Development and Early Learning Framework for reference purposes.

Domains	Birth-to-Three ELGs	Three-to-Five ELGs	Five and Older ELGs
Physical development and health	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Social and emotional development	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Approaches to learning	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Logic and reasoning (e.g., problem-solving)	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Language development	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Literacy knowledge and skills	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Mathematics knowledge and skills	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Science knowledge and skills	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Creative arts expression (e.g., music, art, drama)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Social studies knowledge and skills	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
English language development (for dual language learners)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
List any domains not covered in the above _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other. Describe _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

3.2.3 To whom are the early learning guidelines disseminated and in what manner? Check all audiences and methods that your State/Territory has chosen to use in the chart below.

	Information Dissemination	Voluntary Training	Mandatory Training
Parents in the child care subsidy	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

system			
Parents using child care more broadly	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Practitioners in child care centers	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Providers in family child care home homes	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Practitioners in Head Start	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Practitioners in Early Head Start	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Practitioners in public Pre-K program	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Practitioners in elementary schools	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other. List College instructors, professional development trainers, Resource and Referral Networks.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>

3.2.4 Are voluntary early learning guidelines incorporated into other parts of the child care system? Check which ways, if any, the State/Territory incorporates its early learning guidelines into other parts of the child care system.

- ☒ To define the content of training required to meet licensing requirements
- ☒ To define the content of training required for program quality improvement standards (e.g., QRIS standards)
- ☒ To define the content of training required for the career lattice or professional credential
- ☒ To require programs in licensing standards to develop curriculum/learning activities based on the voluntary ELGs
- ☐ To require programs in quality improvement standards to develop curriculum/learning activities based on the voluntary ELGs
- ☐ To develop State-/Territory –approved curricula
- ☐ Other. List _____
- ☐ None.

3.2.5 Are voluntary early learning guidelines aligned with into other parts of the child care system? Check the standards, if any, with which the State/Territory aligns its early learning guidelines.

- ☒ Cross-walked to align with Head Start Child Development and Early Learning Framework
- ☒ Cross-walked to align with K-12 content standards
- ☒ Cross-walked to align with State/Territory pre-k standards
- ☐ Cross-walked with accreditation standards
- ☒ Other. List
Align with:
 - The Alignment of the California Preschool Learning Foundations with Key Early Education Resources: California Infant/Toddler Learning and Development Foundations, California Content Standards, the Common Core

State Standards, and Head Start Child Development and Early Learning Framework <http://www.cde.ca.gov/sp/cd/re/psalignment.asp>

- Infant/Toddler Learning & Development Program Guidelines <http://www.cde.ca.gov/sp/cd/re/itframework.asp>
- Guidelines for Early Learning in Child Care Home Settings <http://www.cde.ca.gov/sp/cd/re/documents/elguidelineshome.pdf>
- Preschool Curriculum Frameworks
 - Volume 1 <http://www.cde.ca.gov/sp/cd/re/documents/psframeworkkv1.pdf>
 - Volume 2 <http://www.cde.ca.gov/sp/cd/re/psframework.asp#psframevol2>
 - Volume 3 <http://www.cde.ca.gov/sp/cd/re/psframework.asp#psframevol3>
- Preschool English Learners Principles and Practices to Promote Language, Literacy, and Learning
 - English: <http://www.cde.ca.gov/sp/cd/re/documents/psenglearnersed2.pdf>
 - Spanish: <http://www.cde.ca.gov/sp/cd/re/documents/pelspanish.pdf>

☐ None.

3.2.6 Describe how your State/Territory uses ongoing assessments and measures of school readiness assessment using the following series of questions. In this section, assessment is framed with two distinct purposes/tools- 1) ongoing assessment of children's progress within the classroom to improve and individualize instruction (this corresponds to 3.2.6a) and 2) assessments conducted at kindergarten entry to inform policymakers about the school readiness of children across the state on a broad range of domains, used to guide program initiatives (this corresponds to 3.2.6b).

In the description for each Yes response, please include a) who administers and b) how often assessments are conducted, and c) what assessment tools are used.

- a) Are programs required to conduct ongoing assessments of children's progress of children using measures aligned with the early learning guidelines or other child standards?

☒ Yes. Describe Children, served in programs funded by the CDE, are assessed within the first 60 days of enrollment into the child development program. Ongoing assessments are conducted and formalized every six months during the time the child is enrolled in the program.

a-1) If yes, are programs encouraged to use information from ongoing assessments to improve practice and individual children's needs?

☒ Yes. Describe The assessments are used to inform curriculum planning, to meet the individual needs of children, and for ongoing program improvement.

☐ No

☐ Other. Describe _____

a-2) If yes, is information on child's progress reported to parents?

☒ Yes. Describe Formal conferences are offered to parents after the first assessment of their child is completed. The parent conference is held with the classroom teacher and includes a written document that informs parent of the child strengths and the plans to help the child progress.

☐ No

☐ Other. Describe _____

☐ No

☐ Other. Describe _____

b) Does the State/Territory use tools that are valid, reliable and age-appropriate to track the readiness of children as they kindergarten?

☒ Yes. Describe The Desired Results Development Profile (DRDP) assessment instrument is based on the most current valid and reliable research regarding the growth of infant-toddler (I/T) age children, preschool (PS) age children and school (SA) age children. California is also developing a kindergarten and school readiness (SR) instrument within the Desired Results system.

b-1) If yes, do the tools cover the developmental domains identified in 3.2.2?

☒ Yes. Describe The DRDP for infants and toddlers includes the domains of: self and social development, language and literacy, cognitive, motor and perceptual development and health.

The DRDP for preschool includes the domains of: self and social development, language and literacy, cognitive, mathematical, and physical development and health.

☐ No

☐ Other. Describe _____

b-2) If yes, are the tools used on all children or samples of children?

☒ All children. Describe All children, receiving care for 10 or more hours per week from agencies that contract with the CDE, are assessed within 60 days of enrollment in the child care program. Assessment is ongoing and formalized every six month after the initial assessment.

☐ Samples of children. Describe _____

☐ Other. Describe _____

b-3) If yes, is the information from the school readiness measures used to target program quality improvement activities?

☒ Yes. Describe The DRDP is designed to assess a child's growth on a developmental continuum. The results of the assessment are

used to develop appropriate curriculum to support children's development and to support program quality improvement.

☐ No

☐ Other. Describe _____

☐ No

☒ Other. Describe School districts use their own individual assessments to determine a child's readiness for kindergarten.

c) Is school readiness information linked to the statewide longitudinal data system (SLDS, program of the Department of Education)?

☐ Yes. Describe _____

☒ No

☐ Not applicable. State does not have an SLDS.

3.2.7 Data & Performance Measures on Voluntary Early Learning

Guidelines – What data elements, if any, does the State/Territory have access to on the dissemination of, implementation of, or children's attainment of the early learning guidelines? What, if any, performance measures does the State/Territory use for dissemination and implementation of the early learning guidelines? The purpose of these questions is for Lead Agencies to provide a description of their capacity to provide information, not to require Lead Agencies to collect or report this information. For any data elements checked in (a) below, provide an optional description about the data they have access to (e.g., the Lead Agency's may have data for only licensed programs, only programs caring for children receiving CCDF subsidies, only providers participating in quality improvement systems, or only for certain age groups (infants and toddlers or school-age children)).

a) **Data on voluntary early learning guidelines.** Indicate if the Lead Agency or another agency has access to data on:

☐ Number/percentage of child care providers trained on ELG's for preschool aged children. Describe (optional) _____

☐ Number/percentage of child care providers trained on ELG's for infants and toddlers. Describe (optional) _____

☐ Number of programs using ELG's in planning for their work. Describe (optional) _____

☐ Number of parents trained on or served in family support programs that use ELG's. Describe (optional) _____

☒ Other. Describe 738 agencies, both LEAs and private agencies, contract with the CDE to provide subsidized child care for low-income families. These agencies are required to use the DRDP® (2010) assessment system for all subsidized children served in their programs. Throughout a typical year this represents more than 250,000 children in California. Currently the data are maintained at an agency level. Contractors that utilize assessments aligned to early learning guidelines are required to inform their curriculum planning.

☐ None

- b) **Performance measurement.** What, if any, are the Lead Agency's performance measures related to dissemination and implementation of the early learning guidelines? [None](#)
- c) **Evaluation.** What are the State/Territory's plans, if any, for evaluation related to early learning guidelines and the progress of children in child care? Evaluation can include efforts related to monitoring implementation of an initiative validation of standards or program assessment tools, or looking at outcomes in programs or the system and may be ongoing or conducted periodically. [Through a careful system of research and development, the CDE continues the ongoing development and refinement of the early learning guidelines. At this time, the guidelines are used by agencies to support staff in their understanding of children, to assist in the planning of curriculum, and to support continuous program quality improvement at an agency level.](#)

3.2.8 Goals for the next Biennium – In this section, Lead Agencies are asked to identify at least one goal for the upcoming biennium. Lead Agencies are encouraged to include measurable and achievable goals. Lead Agencies may include existing goals (e.g., already identified in a State strategic plan or established by the Governor for a Lead Agency). ACF will target technical assistance efforts to help Lead Agencies achieve their goal(s). What are the Lead Agency's goals for using voluntary early learning guidelines in the coming biennium? What progress does the Lead Agency expect to make related to early learning guidelines?

Goal 1- Establishing Voluntary Early Learning Guidelines:
A. Develop a system for all the state professional development providers to be certified on the state's early learning guidelines (Foundations).
B. Develop faculty instructional guides for California Infant/Toddler and Preschool Foundations and Curriculum Framework documents.
Goal 2- Establishing Voluntary Early Learning Guidelines: Fully align the Desired Results assessment instrument to volumes two and three of the preschool learning foundations.
Goal 3- Establishing Voluntary Early Learning Guidelines: Develop a tracking system of ECE practitioners trained on the foundations.
Goal 4- Establishing Voluntary Early Learning Guidelines: Develop and conduct an annual professional development institute for all CCDF Quality Improvement project trainers, coaches and mentors, with priority given to topics on adult learning, reflective practice, mentoring and coaching skills, and family engagement.
Goal 5-

3.3 Creating Pathways to Excellence for Child Care Programs through Program Quality Improvement Activities (Component #3)

Many States have chosen to use targeted quality funds and other resources to develop a systematic framework for evaluating, improving, and communicating the level of quality in early childhood programs (i.e. QRIS). States and Territories provide a self-assessment on current program quality improvement activities by responding to questions in this section and then describe their goals for the upcoming Biennium.

For purposes of this section, States and Territories will respond according to a Quality Rating and Improvement System (QRIS) framework. QRIS refers to a systematic framework for evaluating, improving and communicating the level of quality in early childhood programs and contains five key elements:

1. Program standards
2. Supports to programs to improve quality
3. Financial incentives and supports
4. Quality assurance and monitoring
5. Outreach and consumer education

While not all States and Territories have developed or implemented a formal QRIS, all are pursuing quality improvement strategies that can be described within this framework (based upon previous CCDF Plans). Using this framework to organize this section allows States/Territories to report on their quality improvement activities systematically whether they have a QRIS or not. Over time, States and Territories are encouraged to work on linking their quality improvement initiatives and strategies across all of these elements, culminating in a comprehensive Quality Rating and Improvement System with adequate support for providers to attain higher levels of quality and transparency for parents and the community regarding the quality of child care.

a) Describe which entities are involved in planning and administering the program quality improvement activities in 3.3, including State/Territory entities and local or community level entities. *Fifty-six different stakeholder organizations from the across the state contributed their input regarding the priorities and implementation of quality improvement activities. These groups include representation from care provider groups, advocacy organizations, and professional development associations. It included stakeholders representing diverse cultural, ability, geographic and parent perspectives.*

3.3.1 Element 1 – Program Standards

Definition – For purposes of this section, program standards refers to the expectations for quality, or quality indicators, which identify different levels of and pathways to improved quality. **Minimum licensing standards and health and safety requirements provided in section 3.1 are also program standards but in this section, we focus on those standards that build upon and go beyond those minimum requirements.**

a) Does your State/Territory's have quality improvement standards that include indicators covering the following areas beyond what is required for licensing? Check any indicators, if any, that your State/Territory has chosen to establish.

- ☐ Ratios and group size
- ☐ Health, nutrition and safety
- ☐ Learning environment and curriculum
- ☐ Staff/Provider qualifications and professional development

- ☐ Teacher/providers-child relationships
- ☐ Teacher/provider instructional practices
- ☐ Family partnerships and family strengthening
- ☐ Community relationships
- ☐ Administration and management
- ☐ Developmental screenings
- ☐ Child assessment for the purposes of individualizing instruction and/or targeting program improvement
- ☐ Cultural competence
- ☒ Other. Describe [The CAEL QIS Advisory Committee has submitted recommendations to the governor and the California State Legislature regarding the creation of a Quality Rating and Improvement System for all child care providers throughout the state. Currently California maintains quality standards that exceed the California Licensing standards for direct service agencies that contract with the CDE to provide subsidized care for low-income families. These include staff to child ratios, curriculum and instruction, staff qualifications and professional development, family partnerships, child assessment for the purpose of individualized instruction. As part of the RTT-ELC grant, sixteen counties in California are participating in the development and implementation of a QRIS.](#)
- ☐ None. If checked, skip to 3.3.2.

b) Does your State/Territory have quality improvement standards with provisions about the care of any of these groups of children? Check any provisions your State/Territory has chosen to establish.

- ☒ Children with special needs as defined by your State/Territory
- ☒ Infants and toddlers
- ☐ School-age children
- ☒ Children who are dual language learners
- ☐ None

c) How do your State/Territory's quality standards link to State/Territory licensing requirements? Check any links between your State/Territory's quality standards and licensing requirements.

- ☐ Licensing is a pre-requisite for participation
- ☐ Licensing is the first tier of the quality levels
- ☐ State/Territory license is a "rated" license.
- ☒ Other. Describe [The standards proposed by the 16 RTT-ELC counties requires programs to qualify for or to be licensed to participate in the rating system.](#)
- ☐ Not linked.

d) Do your State/Territory's quality improvement standards align with or have reciprocity with any of the following standards? Check any alignment, if any, between your State/Territory's quality standards and other standards.

- ☒ Programs that meet State/Territory pre-k standards are able to meet all or part of the quality improvement standards (e.g., content of the standards is the same, or there is a reciprocal agreement between pre-k and the quality improvement system)
- ☒ Programs that meet Federal Head Start Performance Standards are able to meet all or part of the quality improvement standards (e.g., content of the standards is the same, or there is a reciprocal agreement between Head Start and the quality improvement system)
- ☐ Programs that meet national accreditation standards are able to meet all or part of the quality improvement standards (e.g., content of the standards is the same, or an alternative pathway to meeting the standards)
- ☒ Other. Describe [California's quality improvement standards align with the California Common Core State Standards.](#)
- ☐ None

3.3.2 Element 2 –Supports to Programs to Improve Quality

Definition – For purposes of this section, supports to programs to improve quality refers to such activities as technical assistance and consultation services for programs to assist in meeting child care quality improvement standards.

- a) Check which types of and for what purposes the State/Territory uses supports to child care programs, if any, in the following chart. If none, skip to 3.3.3.

Types and Purposes of Support	Information or Written Materials	Training	On-Site Consultation
<input checked="" type="checkbox"/> Attaining and maintaining licensing compliance	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/> Attaining and maintaining quality improvement standards beyond licensing	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Attaining and maintaining accreditation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/> Providing targeted technical assistance in specialized content areas:			
Health and safety	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Infant/toddler care	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
School-age care	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Inclusion	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Teaching dual language learners	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Mental health	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Business management	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>

Types and Purposes of Support	Information or Written Materials	Training	On-Site Consultation
practices			
Other. Describe Direct service contractors receive onsite training	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
<input type="checkbox"/> None. Skip to 3.3.3.			

b) Methods used to customize quality improvement supports to the needs of individual programs include:

- ☒ Program improvement plans
- ☒ Technical assistance on the use of program assessment tools
- ☒ Other. Describe [Technical assistance is available to agencies throughout the state through trainings offered by the Resource and Referral Network, California Preschool Instructional Network, Family Child Care at its Best, The Program for Infant/Toddler Care, California Inclusion and Behavior Consultation Network, Mentor directors of the California Early Childhood Mentor Program, Child Care Initiative Project and the California Collaborative for the Social and Emotional Foundations for Early Learning. Agencies that contract with CDE also receive focused technical support from their Child Development Field Services Consultant.](#)

c) Is technical assistance linked to entering the QRIS or targeted to help programs forward on QRIS?

- ☐ Yes. Describe _____
- ☒ No
- ☒ Other. Describe [The RTT-ELC quality improvement system provides for a variety of technical assistance options to support quality improvement. This includes training for the use of the Environmental Rating Scale, Program for Infant/Toddler Care - Program Assessment Rating Scale, Program Administration Scale and Business Administration Scale, Classroom Assessment Scoring System, and California Collaborative for the Social and Emotional Foundations for Early Learning. To support quality child care throughout the state, these trainings include learning modules that can be accessed by child care providers who are not in the 16 RTT counties.](#)

3.3.3 Element 3 – Financial Incentives and Supports

Definition – For purposes of this section, financial incentives refers to the types of monetary supports offered to programs in meeting and sustaining licensing and QRIS or other child care quality improvement standards for programs.

a) Identify which types of financial incentives are offered and to which providers in the following chart. Check which incentives and supports, if any, the State/Territory chooses to offer. If none, skip to 3.3.4.

Types of Financial Incentives and Supports for Programs	Child Care Centers	Child Care Homes	License-Exempt Providers
<input checked="" type="checkbox"/> Grants to programs to meet or maintain licensing	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Grants to programs to meet QRIS or similar quality level	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> One-time awards or bonuses on completion of quality standard attainment	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Tiered reimbursement tied to quality for children receiving subsidy	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/> On-going, periodic grants or stipends tied to maintaining quality	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Tax credits tied to meeting program quality standards	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Other. Describe _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> None. Skip to 3.3.4.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

3.3.4 – Element 4 - Quality Assurance and Monitoring

Definition – For purposes of this section, quality assurance and monitoring refers to the ways that the State/Territory measures program quality for the purposes of its QRIS or other quality improvement system and the methods for measuring that the child care quality improvement standards for programs are met initially and maintained over time.

- a) What tools, if any, does the State/Territory use to measure and monitor the quality of programs? Check all that apply and briefly describe using the chart below, including which programs are required to participate and the frequency of assessments. **If none, skip to 3.3.5.**

Types of Program Quality Assessment Tools	Child Care Centers	Child Care Homes	License-Exempt Providers
<input checked="" type="checkbox"/> Environment Rating Scales (e.g., ECERS, ITTERS, SACERS, FDCRS) Describe, including frequency of assessments. For programs that contract with the CDD, yearly environmental rating assessments are done for each funded classroom. These are either conducted as self studies or by outside assessors. On a periodic basis, the CDE field consultants conduct abbreviated assessments of a representative sampling of classrooms during Contract Reviews. Child care homes that are part of networks are also assessed.	<input checked="" type="checkbox"/> Infant/Toddler <input checked="" type="checkbox"/> Preschool <input checked="" type="checkbox"/> School-Age	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/> Classroom Assessment Scoring System	<input checked="" type="checkbox"/>	N/A	<input checked="" type="checkbox"/>

<p>(CLASS)</p> <p>Describe, including frequency of assessments. For programs participating in the RTT-ELC Consortia QRIS, ratings at the higher tier level include use of CLASS scores conducted by independent assessors trained to inter-rater reliability. Ratings are good for a two-year period.</p>			<p>Note: applies to center based, license-exempt (military, tribal, migrant and Cal-SAFE)</p>
<p><input checked="" type="checkbox"/> Program Administration Scale (PAS) for child care centers or Business Administration Scale (BAS) for family child care homes</p> <p>Describe, including frequency of assessments. For programs participating in the RTT-ELC Consortia QRIS, the Quality Improvement and Professional Pathways component of the Quality Continuum Framework includes: training of PAS/BAS, self-review using the tools, and independent assessment using the tools. Use of these depends on the participating programs Quality Improvement (QI) Plan developed by the local Consortia.</p>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<p><input checked="" type="checkbox"/> Note: applies to center based, license-exempt (military, tribal, migrant and Cal-SAFE)</p>
<p><input checked="" type="checkbox"/> Customized instrument, including submission of written documentation, developed for State/Territory quality improvement system. This may include instruments developed for quality improvements in 21st Century Learning Center programs</p> <p>Describe, including frequency of assessments. Contracting agencies conduct yearly self-studies of their entire program. These studies are summarized and submitted to their assigned field services consultant each June. Included in the Program Self Evaluation is information regarding the Environmental Rating Scale assessments and plans for improvement, summary data regarding children assessments, and how the agency plans for ongoing improvement. It also includes verification of the employment of qualified teaching staff. Included in the program Self Evaluation is information regarding any Family Child Care Networks administered by the lead agency. In conjunction with the local Consortia</p>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<p><input checked="" type="checkbox"/> Note: applies to center based, license-exempt (military, tribal, migrant and Cal-SAFE)</p>

Quality Improvement (QI) technical assistance, programs participating in the RTT-ELC Consortia QRIS develop a QI Plan based on their rating and specific areas of need.			
<input type="checkbox"/> Other. Describe _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> None. Skip to 3.3.5.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

b) What steps, if any, has the State/Territory taken to align quality assurance and monitoring across funding streams and sectors in order to minimize duplication?

- ☐ Have a mechanism to track different quality assessments/monitoring activities to avoid duplication
- ☐ Include QRIS or other quality reviews as part of licensing enforcement
- ☐ Have compliance monitoring in one sector (e.g., Head Start/Early Head Start, State/Territory pre-k) serve as validation for compliance with quality improvement system (e.g., QRIS) without further review
- ☐ Have monitoring for meeting accreditation standards serve as validation for compliance with quality improvement system (e.g., QRIS) without further review
- ☒ Other. Describe The Department of Social Services, Community Care Licensing analysts provide the Child Development Field Services Consultants copies of their findings when they do on-site visits to agencies that contract with the CDE. When necessary, coordinated follow-up is implemented to provide support to the agencies and improve the quality of care for children.
- ☐ None

3.3.5 – Element 5 - Outreach and Consumer Education

Definition – For purposes of this section, outreach and consumer education refers to the strategies used to promote the child care quality improvement standards to parents, programs and the general public.

a) Does the State/Territory use symbols or simple icons to communicate levels of quality for child care programs beyond what may communicated to parents about licensing status and licensing compliance as reported in 3.1.3? (e.g. stars, or gold/silver/bronze levels).

- ☐ Yes. If yes, how is it used?
 - ☐ Resource and referral/consumer education services use with parents seeking care
 - ☐ Parents enrolling in child care subsidy are educated about the system and the quality level of the provider that they are selecting
 - ☐ Searchable database on the web
 - ☐ Voluntarily, visibly posted in programs
 - ☐ Mandatory to post visibly in programs

- ☐ Used in marketing and public awareness campaigns
☐ Other. Describe _____
☒ No. If no, skip to 3.3.6.

b) Does the State/Territory use any forms of media to reach parents and the public to communicate about levels of quality for child care programs? Check which forms, if any, the State/Territory uses to communicate levels of quality for child care programs.

- ☒ Print
☐ Radio
☐ Television
☒ Web
☒ Telephone
☐ Social Marketing
☒ Other. Describe Although California does not have a statewide quality rating system for child care programs, information is available about selecting quality care. R&R agencies are regionally located throughout the state. They provide outreach to families and the public through culturally and linguistically appropriate services. Materials are translate into the predominate languages of the various service areas.
☐ None

c) Describe any targeted outreach for culturally and linguistically diverse families. CDE contracting agencies employ staff that reflect the cultures of the communities they serve. The CDE provides translated versions of key documents used by contractors as they establish the eligibility and need of families. Services and trainings that are provided by R&R agencies are conducted by staff who are linguistically and culturally representative of the families served.

3.3.6. Quality Rating and Improvement System (QRIS)

a) **Based on the five key elements of a QRIS described above in 3.3.1 through 3.3.5**, does your State/Territory have a quality rating and improvement system (QRIS) or similar quality improvement system in place?

- ☐ Yes, the State/Territory has a QRIS or similar quality improvement system that includes linked activities in all five elements **operating State/Territory-wide**.
☐ Participation is voluntary for _____
☐ Participation is mandatory for _____
☒ Yes, the State/Territory has a QRIS or similar quality improvement system that includes linked activities in all five elements **operating as a pilot or in a few localities** but not State/Territory-wide.
☐ No, the State/Territory does not have a QRIS or similar quality improvement system that includes linked activities in all five elements.
☐ State/Territory is in the development phase
☐ State/Territory has no plans for development
☒ Other. Describe Sixteen California counties are participating in a RTT-

ELC quality improvement system.

b) If yes to 3.3.6a, **CHECK** the types of providers eligible to participate in the QRIS:

- ☒ Child care centers
- ☒ Group child care homes
- ☒ Family child care homes
- ☐ In-home child care
- ☐ License exempt providers
- ☒ Early Head Start programs
- ☒ Head Start programs
- ☒ Pre-kindergarten programs
- ☐ School-age programs
- ☐ Other. Describe _____

3.3.7. If the State/Territory has or will have any quality improvement strategies for targeted groups of providers (e.g., relative caregivers or caregivers who are legally exempt from licensing) that are not described in your responses to any question in section 3.3 above, please describe

3.3.8 Data & Performance Measures on Program Quality – What data elements, if any, does the State/Territory currently have access to related to the quality of programs? What, if any, does the State/Territory use for performance measures on program quality improvement? The purpose of these questions is for Lead Agencies to provide a description of their capacity to provide information, not to require Lead Agencies to collect or report this information. For any data elements checked, Lead Agencies may choose to describe for whom they access to these data on such as only licensed programs, only programs caring for children receiving CCDF subsidies, only providers participating in quality improvement systems, or only for certain age groups (infants and toddlers or school-age children).

a) **Data on program quality.** Indicate if the Lead Agency or another agency has access to data on:

- ☐ Data on the quality level for individual programs (e.g. QRIS level) as defined by your State/Territory. Describe _____
- ☐ Number of programs that move program quality levels annually (up or down). Describe _____
- ☐ Program scores on program assessment instruments. List instruments: _____ Describe _____
- ☐ Classroom scores on program assessment instruments. List instruments: _____ Describe _____
- ☐ Qualifications for teachers or caregivers with in each program. Describe _____
- ☐ Number/Percentage of children receiving CCDF assistance in licensed care. Describe _____
- ☐ Number/percentage of children receiving CCDF assistance who

attend care at each of the tiers of the quality as defined by the State/Territory

- ☐ Number/Percentage of programs receiving financial assistance to meet higher program standards. Describe _____
- ☒ Other. Describe The RTT-ELC counties will participate in a data collection system.
- ☐ None

- b) **Performance measurement.** What, if any, are the Lead Agency's performance measures on program quality? Agencies that contract with the CDE provide an annual program self-evaluation. In this evaluation, they summarize data collected via an Environment Rating Scale (ERS) of each of their classrooms, verification of the permitted teaching staff (by name and permit number) in each classroom, a summary report of the findings of the DRDP assessments of all of the children in care, and other criteria that align with K–12 standards. Action plans for continuous quality improvement are submitted by the agency based on the results of their findings.
- c) **Evaluation.** What, if any, are the State/Territory's plans for evaluation related to program quality? Evaluation can include efforts related to monitoring implementation of an initiative, validation of standards or assessment tools, or looking at outcomes in programs or the system and may be ongoing or conducted periodically. Agencies that contract with the CDE receive periodic reviews by CDE staff. This includes ERS reviews in classrooms, reviews of DRDP assessment procedures, verification of staff qualifications, eligibility reviews, and other criteria as aligned with K-12 standards.

3.3.9 Goals for the next Biennium – In this section, Lead Agencies are asked to identify at least one goal for the upcoming biennium. Lead Agencies are encouraged to include measurable and achievable goals. Lead Agencies may include existing goals (e.g., already identified in a State strategic plan or established by the Governor for a Lead Agency). ACF will target technical assistance efforts to help Lead Agencies achieve their goal(s). Lead Agencies are not required to establish a goal for each subsection in 3.3. What are the State/Territory's goals for the program quality improvement system in the coming biennium? What progress does the State/Territory expect to make across the five key elements for quality improvement systems?

Goal 1- Creating Pathways to Excellence for Child Care Programs through Program Quality Improvement Activities:

- A. Support the work of the state Department of Social Services to improve the licensing, review process standards, and frequency of visits.
- B. Explore alignment of state regulations in Title 5 (Education) and Title 22 (Health and Safety - child care) across definitions including, but not limited to: teacher qualifications, age categories, infant toddler, preschool, and professional development programs.

Goal 2- Creating Pathways to Excellence for Child Care Programs through Program Quality Improvement Activities: Ensure that CCDF Quality Improvement training efforts are inclusive of all providers and address the needs of all children, in all settings, with a particular focus

on dual language learners, infant/toddlers, and children with special needs.
Goal 3- Creating Pathways to Excellence for Child Care Programs through Program Quality Improvement Activities: Increase opportunities for training staff of CCDF Quality Improvement-funded projects to network, communicate, and cross-train at the state level.
Goal 4-
Goal 5-

3.4 Pathways to Excellence for the Workforce – Professional Development Systems and Workforce Initiatives (Component #4)

Pathways to excellence for the workforce builds on the significant investments States and Territories have made in the area of professional development systems to ensure a well-qualified workforce with opportunities for growth from entry level through master teacher, with an increasing emphasis on the many additional roles in the child care system (e.g. adult educators such as consultants, technical assistance providers, trainers, and higher education faculty). In this section, States and Territories provide a self-assessment on current professional development and workforce activities and describe their goals for the upcoming Biennium.

For purposes of this section, States and Territories will respond according to five key elements for workforce systems:

- 1) Core Knowledge and Competencies
- 2) Career Pathways (or Career Lattice)
- 3) Professional Development Capacity
- 4) Access to Professional Development
- 5) Compensation, Benefits and Workforce Conditions

a) Describe which entities are involved in planning and administering the activities in Section 3.4, including State/Territory entities and local or community level entities. Fifty-six stakeholders from around the state participated in the Quality Improvement Plan. They were invited to complete a survey and to meet with CDE/CDD staff to discuss the FY 2014–15 State Plan. Stakeholders included state agencies, professional organizations and associations, educators from institutions of higher education, K–12 school administrators and governing boards, early care and education advocacy groups, special education, tribal collaboration workgroups, private foundations, as well as representatives from parent teacher associations and parent advocacy initiatives. In addition, representatives from the programs funded by the Quality Improvement Office were on-hand to answer questions and provide information to the stakeholders about the scope of work currently funded.

3.4.1 Workforce Element 1 - Core Knowledge and Competencies

Definition – For purposes of this section, core knowledge and competencies (CKCs) refers to the expectations for what the workforce should know (content) and be able to do (skills) in their role working with and/or on behalf of children and their families. These CKCs provide a foundation for professional development design (including instructional practices) and other quality improvement efforts.

a) Has the State/Territory developed core knowledge and competencies (CKCs) for practitioners working with and/or on behalf of children?

- ☒ Yes
☐ No, the State/Territory has not developed core knowledge and competencies. Skip to question 3.4.2.
☐ Other. Describe _____

If yes, insert web addresses, where possible: _____

b) Check which of the following teaching and learning topics, if any, are covered in the CKCs.

- ☒ Child growth, development and learning
☒ Health, nutrition, and safety
☒ Learning environment and curriculum
☒ Interactions with children
☒ Family and community relationships
☒ Professionalism and leadership
☒ Observation and assessment
☒ Program planning and management
☒ Diversity
☒ Other. Describe [Culture, Diversity and Equity; Dual Language Development; Special Needs and inclusion; Leadership in ECE.](#)
☐ None

c) Are the CKCs incorporated into other parts of the child care system? Check which ways, if any, the State/Territory incorporates its CKCs into other parts of the child care system.

- ☒ To define the content of training required to meet licensing requirements
☒ To define the content of training required for program quality improvement standards (as reported in section 3.3)
☒ To define the content of training required career lattice or credential
☒ To correspond to the early learning guidelines
☒ To define curriculum and degree requirements at institutions of higher education
☒ Other. Describe [Cross-walked with national teacher standards.](#)
☐ None

d) Are the CKCs aligned with other State/Territory or national standards? Check which ways, if any, the State/Territory aligns its CKCs with other standards.

- ☐ Cross-walked with the Child Development Associate (CDA) competencies

☐ Cross-walked with national teacher preparation standards (e.g., NAEYC standards for early childhood professional preparation, National Board of Professional Teaching Standards, Head Start SOLAR staff skills indicators)

☐ Cross-walked with apprenticeship competencies

☒ Other. Describe The ECE competencies were designed to align with the CDE's early learning foundations, curriculum frameworks, Desired Results resources including the Desired Results Developmental Profile (DRDP) and Desired Results for Children and Families – Parent Survey, the Early Childhood Environment Rating Scale – Revised (ECERS-R), the Infant/Toddler Environment Rating Scale – Revised (ITERS-R), and the Family Child Care Environment Rating Scale – Revised (FCCERS-R), California's K–12 professional teaching standards (California Commission on Teacher Credentialing 2009), the National Association for the Education of Young Children (NAEYC) accreditation standards (NAEYC 2007), the California Infant-Family and Early Childhood Mental Health Training Guidelines, the Early Start Personnel Project materials, and the NAEYC code of ethics (2005).

☐ None

e) Check for which roles, if any, the State/Territory developed supplemental or specialized competencies.

☒ Staff working directly with children in centers, including aides, assistants, teachers, master teachers. Describe The CDE in collaboration with First 5 California developed a series of California Early Childhood Educator Competencies in 2012. The two Competency Contexts that apply to this question are: "supporting early learning and development," and "planning and guiding early learning and development."

☒ Providers working directly with children in family child care homes, including aides and assistants. Describe The two Competency Contexts that apply to this question are: "supporting early learning and development," and "planning and guiding early learning and development."

☒ Administrators in centers (including educational coordinators, directors). Describe The Competency Contexts that apply to this question are: "creating and maintaining program policies and practices."

☒ Technical assistance providers (including mentors, coaches, consultants, home visitors, etc.). Describe The Competency Contexts that apply to this question are: "advancing the early childhood profession."

☐ Education and training staff (such as trainers, CCR&R staff, faculty). Describe

☐ Other. Describe _____

☐ None

f) Check if the State/Territory has developed any supplemental or specialized competencies for practitioners/providers working with the following ages.

☒ Birth-to-three

- ☒ Three-to-five
- ☐ Five and older
- ☐ Other. Describe _____
- ☐ None

3.4.2 Workforce Element 2 - Career Pathways

Definition – For purposes of this section, career pathways (or career lattice) defines the options and sequence of qualifications and ongoing professional development to work with children. Career pathways assist professionals in understanding their career options and identify steps for advancement for the workforce recognizing and rewarding higher levels of preparation and mastery of practice to promote higher quality services for children.

a) Does the State/Territory have a career pathway which defines the sequence of qualifications related to professional development (education, training and technical assistance) and experience required to work with children?

☒ Yes. Describe California has a career ladder described in the Child Development Permit Matrix (permits issued by California Commission on Teacher Credentialing). The California Commission on Teacher Credentialing hopes the career ladder will be revised to integrate the recently completed Early Childhood Educator Competencies.

☐ No, the State/Territory has not developed a career pathway. Skip to question 3.4.3.

Insert web addresses, where possible: [Child Development Permit Matrix from the California Commission on Teacher Credentialing.](http://www.ctc.ca.gov/credentials/leaflets/cl797.pdf)
<http://www.ctc.ca.gov/credentials/leaflets/cl797.pdf>

b) Check for which roles, if any, the career pathways include qualifications, specializations or credentials.

☒ Staff working directly with children in centers, including aides, assistants, teachers, master teachers. Describe Specializations include at least six units in: infant and toddler care, bilingual and bicultural development, children with exceptional needs, preschool programming, parent/teacher relations, child health, and specific areas of developmentally appropriate curriculum.

☐ Providers working directly with children in family child care homes, including aides and assistants. Describe _____

☒ Administrators in centers (including educational coordinators, directors). Describe Site supervisors and program directors.

☐ Technical assistance providers (including mentors, coaches, consultants, home visitors, etc.). Describe _____

☐ Education and training staff (such as trainers, CCR&R staff, faculty). Describe _____

☐ Other. Describe _____

☐ None

c) Does the career pathways (or lattice) include specializations or credentials, if any, for working with any of the following children?

☒ Infants and toddlers

☐ Preschoolers

☒ School-age children

☒ Dual language learners

☒ Children with disabilities, children with developmental delays, and children with other special needs

☐ Other. Describe _____

☐ None

d) In what ways, if any, is the career pathway (or lattice) used?

☐ Voluntary guide and planning resource

☐ Required placement for all practitioners and providers working in programs that are licensed or regulated in the State/Territory to serve children birth to 13

☒ Required placement for all practitioners working in programs that receive public funds to serve children birth to 13

☐ Required placement for adult educators (i.e., those that provide training, education and/or technical assistance)

☐ Required placement for participation in scholarship and/or other incentive and support programs

☐ Required placement for participation in the QRIS or other quality improvement system

☐ Other. Describe _____

☐ None

e) Are individuals' qualifications, professional development, and work experience verified prior to placement on the career pathway (or lattice)?

☒ Yes. If yes, describe [The Commission on Teacher Credentialing evaluates transcripts, work experience, and professional development hours as appropriate for new and renewed permits on the Child Development Permit Matrix.](#)

☐ No

3.4.3 Workforce Element 3 – Professional Development Capacity

Definition – For purposes of this section, professional development incorporates higher education, training and technical assistance. Higher education capacity refers to capability of the higher education system to meet the needs of the diverse workforce including the provision of content that addresses the full range of development and needs of children. Training and technical assistance capacity refers to capability of the training and technical assistance system to meet the needs of the diverse workforce including the provision of content that addresses the full range of

development and needs of children. **Early childhood includes infants, toddlers, and preschoolers.**

a) Has the State/Territory assessed the availability of degree programs in early-childhood education, school-age care or youth development, and related fields in the State/Territory (e.g., both physical location and distance-based, accessibility to practitioners, etc.)?

☒ Yes. If yes, describe [The Center for the Study of Child Care Employment, University of California Berkeley is in the process of creating an inventory of accessibility of early childhood educator degree programs throughout California.](#)

☐ No

b) Has the State/Territory assessed the availability of early-childhood and school-age and related training and technical assistance programs in the State/Territory (e.g., both physical location and distance-based, degree level, etc.)?

☒ Yes. If yes, describe [Assessment of existing resources for completion of early childhood, school-age, and related training and technical assistance programs was part of the legislative charge for the CAEL QIS Advisory Committee as described in the final report to the Governor and Legislature in December 2010. <http://www.cde.ca.gov/sp/cd/re/documents/fnlrpt2010.pdf> In addition, a meta-analysis, "Synthesis of Recent Research – Conditions of Children Birth to Age Five and Status of Early Childhood Services in California." was completed by the American Institutes for Research in August 2012. Key findings and policy recommendations from 81 research articles on the early learning and care system in California since 2000. <http://glenpricegroup.com/ccelp/resource-documents/>](#)

☐ No

c) What quality assurance mechanisms, if any, are in place for the degree programs and courses offered by the State/Territory institutions?

- ☒ Standards set by the institution
- ☒ Standards set by the State/Territory higher education board
- ☒ Standards set by program accreditors
- ☐ Other. Describe
- ☐ None

d) What quality assurance mechanisms, if any, are in place for the training and technical assistance programs offered by the State/Territory?

☒ Training approval process. Describe [Publicly funded training and technical assistance programs are implemented under contract with the CDE. Review and approval of training is done in the development of the scope of work, and is monitored continuously during the performance of the contract.](#)

- ☐ Trainer approval process. Describe _____
- ☒ Training and/or technical assistance evaluations. Describe Training and/or technical assistance (TA) evaluations. TA programs complete an evaluation after each training. Programs report to the CDE on a monthly and yearly basis via monthly reports and yearly final reports.
- ☐ Other. Describe _____
- ☐ None

e) Does the State/Territory have articulation agreements in place across and within institutions of higher education?

☒ Yes. If yes, describe A variety of articulation agreements have been in place across and within institutions of higher education for many years. The work of the Curriculum Alignment Project (CAP) has created a systematic alignment of eight lower-division, three-unit semester courses. Articulation agreements are in place with 103 California Community Colleges and 3 California State Universities (CSU) have transfer pathways. The recent establishment of the Early Childhood Education Statewide Transfer Degree at the CSU approves the CAP coursework as a lower-division requirement. The goal for CAP is to have all 103 community colleges with aligned early childhood education coursework and articulation agreements with the CSU system statewide.

No
☐ No

f) Does the State/Territory have articulation agreements that translate training and/or technical assistance into higher education credit?

☒ Yes. If yes, describe Some publically funded training and technical assistance projects offer credit bearing units through agreements with community colleges and CSUs that evaluate and give credit for approved training.

☐ No

3.4.4 Workforce Element 4 – Access to Professional Development

Definition – For purposes of this section, access to professional development (training, education and technical assistance) refers to the degree to which practitioners are made aware of, and receive supports and assistance to utilize, professional development opportunities.

a) Does the State/Territory have professional development opportunities accessible for professionals in various or all sectors of the early childhood and school-age field?

☒ Yes. If yes, for which sectors?

- ☒ Child care
- ☒ Head Start/Early Head Start
- ☒ Pre-Kindergarten
- ☒ Public schools

- ☒ Early intervention/special education
☐ Other. Describe _____
☐ No

b) Does the State/Territory have a State/Territory-wide, coordinated and easily accessible clearinghouse of information about professional development opportunities available to all members of the early childhood and school-age workforce? Lead Agencies are not required to have a professional development system, but States/Territories may develop such clearinghouses to promote access to professional development opportunities.

- ☒ Yes. If yes, describe The CDE funded Child Development Training Consortium provides a web resource listing relevant early childhood training opportunities around the state including credit bearing online courses at California community colleges.
☐ No

Insert web addresses, where possible: <http://www.childdevelopment.org>

c) What supports, if any, does the State/Territory provide to promote access to training and education activities?

- ☒ Scholarships. Describe Publicly funded scholarships are available through the Student Aid Commission.
☒ Free training and education. Describe Training and education is provided through: Beginning Together, California Preschool Instructional Network, Child Care Initiative Project, Desired Results Field Training, Family Child Care at its Best, Informal Care Training Project, PITC Partners for Quality Regional Support Network, and the Program for Infant/Toddler Care Institutes, and California Collaborative for the Social and Emotional Foundations of Early Learning. Additionally, Local Child Care and Development Planning Councils throughout California conduct staff retention activities (AB 212). The purpose of this program is to improve the retention of qualified child development employees that work directly with children in state-subsidized, Title 5, child development programs. Many of these activities include career advisors. The CARES Plus program is dedicated to increasing the quality of early learning programs for children ages 0 to 5 and their families by supporting the education and professional development of an effective, well-compensated, and diverse early learning workforce.
☒ Reimbursement for training and education expenses. Describe The Child Development Training Consortium administers the Community College Program with a tuition reimbursement component, and provides stipends for permits and fingerprint/criminal record clearance required for permits.
☒ Grants. Describe The Career Incentive Grant Program provides grants to eligible students in four-year colleges and universities.
☐ Loans. Describe _____
☐ Loan forgiveness programs. Describe _____
☐ Substitute pools. Describe _____

- ☐ Release time. Describe _____
- ☐ Other. Describe _____
- ☐ None

d) Does the State/Territory have career advisors for early childhood and school-age practitioners?

- ☒ Yes. If yes, describe Local Child Care and Development Planning Councils throughout California conduct staff retention activities (AB 212). The purpose of this program is to improve the retention of qualified child development employees that work directly with children in state-subsidized, Title 5, child development programs. Many of these activities include career advisors. The CARES Plus program is dedicated to increasing the quality of early learning programs for children ages 0 to 5 and their families by supporting the education and professional development of an effective, well-compensated, and diverse early learning workforce.
- ☐ No

e) Does the State/Territory have mentors, coaches, consultants, and/or other specialists available to provide technical assistance to the workforce?

- ☒ Yes. If yes, describe The CDE funds the CPIN, the CIBC, the PITC, Partners for Quality, and the California Early Childhood Mentor Program to provide mentoring, coaching, and technical assistance to the workforce. The CDE is the lead agency for the CSEFEL.
- ☐ No

3.4.5 Workforce Element 5- Compensation, Benefits and Workforce Conditions

Definition – For purposes of this section, rewards for education and training refers to any financial supports provided to practitioners for participating in and completing education or training or for increasing compensation.

a) Does the State/Territory have a salary or wage scale for various professional roles?

- ☐ Yes. If yes, describe _____
- ☒ No

b) Does the State/Territory provide financial rewards for participation in professional development, such as one-time salary bonuses for completing a training or education program?

- ☒ Yes. If yes, describe The Child Care Staff Retention (AB 212) program funds stipends for completion of unit-bearing coursework needed for advancement in the early care and education workforce and coordinates with the complimentary Comprehensive Approaches to Raising Education Standards (CARES) program which is funded by the First 5 California.
- ☐ No

c) Does the State/Territory provide sustained financial support on a periodic, predictable basis, such as annual wage supplements, based on the highest level of training and education achieved?

- ☐ Yes. If yes, describe _____
☒ No

d) Does the State/Territory have a program to offer or facilitate benefits (e.g. health insurance coverage, retirement, etc.) to the workforce?

- ☐ Yes. If yes, describe _____
☒ No

3.4.6 Data & Performance Measures on the Child Care Workforce – What data elements, if any, does the State/Territory currently have access to related to the child care workforce? What, if any, does the State/Territory use for performance measures on professional development and workforce initiatives? The purpose of these questions is for Lead Agencies to provide a description of their capacity to provide information, not to require Lead Agencies to collect or report this information. For any data elements checked, Lead Agencies may choose to describe for whom they access to these data on such as only licensed programs, only programs caring for children receiving CCDF subsidies, only providers participating in quality improvement systems, or only for certain age groups (infants and toddlers or school-age children).

a) **Data on the child care workforce.** Indicate if the Lead Agency or another agency has access to data on:

- ☐ Data on the size of the child care workforce. Describe (optional) _____
- ☐ Data on the demographic characteristics of practitioners or providers working directly with children. Describe (optional) _____
- ☐ Records of individual teachers or caregivers and their qualifications. Describe (optional) _____
- ☐ Retention rates. Describe (optional) _____
- ☐ Records of individual professional development specialists and their qualifications. Describe (optional) _____
- ☐ Qualifications of teachers or caregivers linked to the programs in which they teach. Describe (optional) _____
- ☐ Number of scholarships awarded . Describe (optional) _____
- ☐ Number of individuals receiving bonuses or other financial rewards or incentives. Describe (optional) _____
- ☐ Number of credentials and degrees conferred annually. Describe (optional) _____
- ☐ Data on T/TA completion or attrition rates. Describe (optional) _____
- ☐ Data on degree completion or attrition rates. Describe (optional) _____

☒ Other. Describe The CDE collects and verifies qualifications of staff employed in publically funded child care programs to assure compliance with the California Code of Regulations, Title 5 requirements. Data are also collected regarding education and employment for those persons participating in CDE sponsored quality improvement activities.

☐ None

b) Does the State/Territory have a workforce data system, such as a workforce registry, which tracks workforce demographics, compensation, and qualifications and ongoing professional development for practitioners working with children birth to age 13?

Definition— For purposes of this section, a workforce data system refers to a system, such as a workforce registry, that tracks the size and characteristics of the child care workforce, including longitudinal data to monitor changes over time. The data system also can produce records to validate and verify qualifications or ongoing professional development for licensing, accreditation, QRIS, wage incentives, and credentials.

☐ Yes.

b-1) If yes, which roles are included in the workforce data system? For each role checked, indicate in your description whether participation is voluntary or mandatory.

☐ Staff working directly with children in centers, including aides, assistants, teachers, master teachers. Describe _____

☐ Providers working directly with children in family child care homes, including aides and assistants. Describe _____

☐ Administrators in centers (including educational coordinators, directors). Describe _____

☐ Technical assistance providers (including mentors, coaches, consultants, home visitors, etc.). Describe _____

☐ Education and training staff (such as trainers, CCR&R staff, faculty). Describe _____

☒ Other. Describe Data are collected from participants in the quality improvement activities such as those participating in CPIN, PITC, CSEFEL, CIBC, Family Child Care at Its Best, and etc.

☐ None

b-2) Does the workforce data system apply to:

☐ all practitioners working in programs that are licensed or regulated by the State/Territory to serve children birth to 13?

☐ all practitioners working in programs that receive public funds to serve children birth to age 13?

☒ No

c) **Performance measurement.** What, if any, performance measures does the State/Territory use related to its workforce and professional development systems? [None](#)

d) **Evaluation.** What, if any, are the State/Territory's plans for evaluation related to its workforce and professional development systems? Evaluation can include efforts related to monitoring implementation of an initiative, validation of standards or assessment tools, or looking at outcomes in programs or the system and may be ongoing or conducted periodically.
[None](#)

3.4.7 Goals for the next Biennium – In this section, Lead Agencies are asked to identify at least one goal for the upcoming biennium and are encourage to identify no more than five priority goals total. ACF will target technical assistance efforts to help Lead Agencies achieve their goal(s). Lead Agencies may include existing goals (e.g., already identified in a State strategic plan or established by the Governor for a Lead Agency). Lead Agencies will report progress and updates on these goals for each sub-section in 3.4. Lead Agencies will report progress and updates on these goals in the annual Quality Performance Report (Appendix 1), including any barriers encountered.

What are the State/Territory's goals for the building the professional development system and improving conditions for the workforce in the coming biennium? What progress does the State/Territory expect to make across the five key elements for the workforce and professional development system described above?

Note – When identifying your goals below, Lead Agencies are encouraged to begin with an action verb reflecting the desired result over the two year period (e.g., Increase, Improve, Build, Align, Implement, Review, Revise, Streamline, Expand, etc.)

Goal 1- [California's Pathways to Excellence for the Workforce – Professional Development Systems and Workforce Initiatives goals for next biennium include the following:](#)

- [A. Support the workforce's professional advancement of quality early childhood practices through the CCDF Quality Improvement professional development projects, e.g., Child Care Initiative Project, Program for Infant/Toddler Care, California Preschool Instructional Network.](#)
- [B. Support the retention of well-educated practitioners through the utilization of AB 212 retention program, First 5 California's CARES Plus, and other stipend and student support coordinated by the Child Development Training Consortium.](#)

Goal 2-

- [A. Promote utilization of the Early Childhood Educator Competencies mapping tool by the early childhood education \(ECE\) professional development educators and faculty for their ECE training and courses to know which competencies participants will be able to](#)

<p>demonstrate upon successful completion of any given training or course.</p> <p>B. Promote utilization of the Competencies Self-Assessment Toolkit (CompSAT) by the ECE workforce, students, and faculty to assess their skills and need for growth in the Early Childhood Educator Competencies.</p>
<p>Goal 3-</p> <p>A. Encourage all California Community Colleges with early childhood education (ECE) programs to offer the “core eight” classes and the aligned courses in special education, infant/toddler care and program administration.</p> <p>B. Encourage all California higher education institutions that offer ECE/Child Development programs to have articulation agreements with the community colleges and align their courses to a common and comprehensive course of study across the two- and four-year degree system.</p>
<p>Goal 4-</p> <p>A. Ensure that Quality Improvement professional development providers collect data about their service population in a manner consistent with the National Workforce Registry and the Early Child Care Data Collaborative.</p> <p>B. Promote the development of a California Workforce Registry that will build on pilot and Race to the Top-Early Learning Challenge efforts, incorporate all workforce permits, degrees, credentials, coursework and professional development training activities, and be compatible with K-12 workforce data.</p>
<p>Goal 5-</p>

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